

CFTC Management Directive 715 Report for FY13
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EEOC FORM 715-01 PART A - D		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
For period covering October 1, 2011 to September 30, 2012			
PART A Department or Agency Identifying Information	1. Agency		Commodity Futures Trading Commission
	1.a. 2nd level reporting component		
	1.b. 3rd level reporting component		
	1.c. 4th level reporting component		
	2. Address		1155 21st Street, NW
	3. City, State, Zip Code		Washington District of Columbia 20581
	4. CPDF Code	5. FIPS code(s)	4173 011
PART B Total Employment	1. Enter total number of permanent full-time and part-time employees		680
	2. Enter total number of temporary employees		27
	2. Enter total number of temporary employees		0
	4. TOTAL EMPLOYMENT [add lines B 1 through 3]		707
PART C Agency Official(s) Responsible For Oversight of EEO Program(s)	1. Head of Agency Official Title		Chairman, CFTC Gary Gensler
	2. Agency Head Designee		Executive Director Anthony Thompson
	3. Principal EEO Director/Official Official Title/series/grade		Director, Office of Diversity and Inclusion Lorena Carrasco
	4. Title VII Affirmative EEO Program Official		Diversity Program Manager Derrick Wilson
	5. Section 501 Affirmative Action Program Official		Chief Human Capital Officer Catherine McCoy
	6. Complaint Processing Program Manager		Equal Employment Specialist Evelyn Parker
	7. Other Responsible EEO Staff		

EEOC FORM 715-01 PART A - D	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT		
PART D List of Subordinate Components Covered in This Report	Subordinate Component and Location (City/State)	CPDF and FIPS codes	

EEOC FORM 715-01 PART E	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
Commodity Futures Trading Commission	For period covering October 1, 2012 to September 30, 2013	
EXECUTIVE SUMMARY		
<p>Congress created the Commodity Futures Trading Commission (CFTC) in 1974 as an independent agency with the mandate to regulate commodity futures and option markets in the United States. The agency's mandate has been renewed and expanded several times since then, most recently by the Dodd-Frank Wall Street Reform and Consumer Protection Act, which includes regulating swaps and educating consumers about commodities fraud.</p> <p>In FY 2012, the CFTC total workforce grew by 6.48%, and CFTCF continued to take steps to achieve a demographic profile consistent with the Civilian Labor Force. With the exception of Hispanic males and Black females, all race and national origin groups experiences a positive net change. The negative rate change contributed to the participation rate of Hispanic males (0.28%) being below the CLF (6.2%). Despite the negative net change for black females, the participation rate of black females (11.32%) continues to exceed the CLF (5.7 %). In the coming years, CFTC will implement strategies that result in a more efficient allocation of budget and resources by selecting targeted recruitment opportunities that advance both diversity gaps and core competency needs as identified in FY 2012:</p> <p>Groups with low participation in the total workforce:</p> <ul style="list-style-type: none"> • Hispanics (1.6%) compared to the CLF (10.5%) • American Indians (0%) compared to the CLF (0.6%) • Women in senior management levels (29.7%) compared to the CFTC (42.3%) • Persons with Disabilities in the total workforce (3.4%) and senior level managers (0.9%) <p>Groups with low participation in core occupations compared to the Relevant CLF:</p> <ul style="list-style-type: none"> • Women in the Economist series • Hispanics in the Economist, Auditor, General Attorney, General Business, and Inspection & Compliance series • Blacks in the Economist and General Business series • American Indians in the Economist, Auditor, General Attorney, General Business, and Inspection & Compliance series • Asian Americans/PI in the Economist series • There are no persons with targeted disabilities in 4 of the 5 core occupations: Economist, Auditing, General Business and Industry, General Inspection, Investigation and Compliance, and IT Management <p>1. Demonstrated Commitment from Agency Leadership</p> <p>During FY12, the CFTC continued to provide EEO and sexual harassment policies to new employees and supervisors. As a result of the CFTC Chairman's goal to strengthen the EEO competencies of managers and employees, the Office of Diversity and Inclusion (ODI) began coaching employees and managers on conflict-resolution skills. ODI also began issuing a quarterly newsletter as a strategic approach to maintaining ongoing dialogue with CFTC employees regarding equal opportunity, diversity and inclusion issues in the workplace. The goal of the newsletter is to educate the workforce on relevant issues and seek to instill behaviors that result in an inclusive work environment. To that end, each publication emphasizes a specific theme and aims to have specific behavior-oriented or attitudinal outcomes. The publication is e-mailed quarterly to all employees in order to serve educational and notification requirements. Each newsletter includes an EEO/diversity message from the Chairman, one of the Commissioners, and/or the EEO Officer. The newsletter is widely read. Both managers and employees have reported positive feedback.</p> <p>2. Integration of EEO into Agency Mission</p> <p>During FY12, the CFTC's newly-appointed ODI Director developed a vision for advancing the mission of the CFTC by sustaining confidence in services that are open to everyone; being a proactive resource that is neutral and transparent; and having a visible presence throughout the Commission. This vision was shared with the CFTC's senior managers and specific program measures were developed in support of this vision. The measures have been integrated into Goal Five of the Commission's strategic plan, and the performance standards of ODI staff. In addition, each manager has EEO/diversity elements as part of the Commission's uniform performance standards.</p> <p>3. Management and Program Accountability</p>		
Executive Summary		

In FY11, CFTC identified the need to examine programs, policies and procedures at regular intervals to assess whether there are hidden impediments to the realization of equal opportunity.* During FY12, ODI conducted an analysis to explore pay gaps between men and women in the financial professions. In addition, ODI Acquired statistical software (SAS) in order to conduct robust statistical analyses based on a methodology to be established in FY13. ODI is in the process of partnering with specific Commission subcomponents (human resources, general counsel, chief financial officer, etc.) to develop procedures for selecting and training resolving officials as well as reviewing and clearing settlement agreements.

4. Proactive Prevention of Unlawful Discrimination

As a result of the CFTC Chairman's goal to strengthen the EEO competencies of managers and employees, the ODI worked in partnership with the Human Resources Branch (HRB) to provide alternate dispute resolution services to resolve employee concerns before complaints or grievances are filed. Both HRB and ODI advised employees and managers of the benefits of engaging in ADR. Further, ODI coached managers and employees on conflict-resolution and effective communication skills as a method of early intervention.

5. Efficiency

In FY11, CFTC identified the need to track applicant flow data in order to implement an adequate data collection and analysis systems that permit tracking of the information required by MD-715.* In FY11, CFTC discontinued use of a manual approach to recruitment, including posting and tracking vacancy announcements. CFTC acquired the services of Monster, Inc. as a means to automating the hiring process and making improvements towards OPM's hiring timeline goals as well as tracking and analyzing applicant data. The automated system was implemented in October of 2012, thereby allowing CFTC to report applicant data in FY13, analyze potential barriers, and implement mitigating strategies subsequently.

During the summer of 2012, ODI recruited and selected 15 new EEO Counselors, bringing the number of collateral-duty counselors to 23 and ensuring each regional office has a minimum of two counselors on-site. ODI reduced training and travel costs by 40% over FY12 by having EEOC conduct the training on-site and transmitting the training online to the regional offices.

* As reported in the CFTC MD-715 Report for FY11, Part H.

EEOC FORM
715-01
PART F

U.S. Equal Employment Opportunity Commission
FEDERAL AGENCY ANNUAL
EEO PROGRAM STATUS REPORT

**CERTIFICATION of ESTABLISHMENT of CONTINUING
EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS**

I, Lorena Carrasco, Equal Employment Manager, CT-0260/15 am the
(Insert name above) (Insert official
title/series/grade above)

Principal EEO Director/Official for Commodity Futures Trading Commission (CFTC)
(Insert Agency/Component Name above)

The agency has conducted an annual self-assessment of Section 717 and Section 501 programs against the essential elements as prescribed by EEO MD-715. If an essential element was not fully compliant with the standards of EEO MD-715, a further evaluation was conducted and, as appropriate, EEO Plans for Attaining the Essential Elements of a Model EEO Program, are included with this Federal Agency Annual EEO Program Status Report.

The agency has also analyzed its work force profiles and conducted barrier analyses aimed at detecting whether any management or personnel policy, procedure or practice is operating to disadvantage any group based on race, national origin, gender or disability. EEO Plans to Eliminate Identified Barriers, as appropriate, are included with this Federal Agency Annual EEO Program Status Report.

I certify that proper documentation of this assessment is in place and is being maintained for EEOC review upon request.



Signature of Principal EEO Director/Official

Certifies that this Federal Agency Annual EEO Program Status Report is in compliance with EEO MD-715.

04/30/13

Date



Signature of Agency Head or Agency Head Designee

05/13/13

Date

Anthony C. Thompson
Executive Director

EEOC FORM 715-01 PART G		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT			
Essential Element A: DEMONSTRATED COMMITMENT FROM AGENCY LEADERSHIP Requires the agency head to issue written policy statements ensuring a workplace free of discriminatory harassment and a commitment to equal employment opportunity.					
Compliance Indicator	EEO policy statements are up-to-date.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
The Agency Head was installed on <u>05/26/2009</u> The EEO policy statement was issued on <u>10/29/2009</u> Was the EEO policy statement issued within 6-9 of the installation of the Agency Head?		X			
During the current Agency Head's tenure, has the EEO policy Statement been re-issued annually? If no, provide an explanation.		X			
Are new employees provided a copy of the EEO policy statement during orientation?		X			
When an employee is promoted into the supervisory ranks, is s/he provided a copy of the EEO policy statement?		X			
Compliance Indicator	EEO policy statements have been communicated to all employees.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Have the heads of subordinate reporting components communicated support of all agency EEO policies through the ranks?		X			
Has the agency made written materials available to all employees and applicants, informing them of the variety of EEO programs and administrative and judicial remedial procedures available to them?		X	X		
Has the agency prominently posted such written materials in all personnel offices, EEO offices, and on the agency's internal website? [see 29 CFR §1614.102(b)(5)]		X			

Compliance Indicator	Agency EEO policy is vigorously enforced by agency management.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Are managers and supervisors evaluated on their commitment to agency EEO policies and principles, including their efforts to:		X			
resolve problems/disagreements and other conflicts in their respective work environments as they arise?		X			
address concerns, whether perceived or real, raised by employees and following-up with appropriate action to correct or eliminate tension in the workplace?		X			
support the agency's EEO program through allocation of mission personnel to participate in community out-reach and recruitment programs with private employers, public schools and universities?		X			
ensure full cooperation of employees under his/her supervision with EEO office officials such as EEO Counselors, EEO Investigators, etc.?		X			
ensure a workplace that is free from all forms of discrimination, harassment and retaliation?		X			
ensure that subordinate supervisors have effective managerial, communication and interpersonal skills in order to supervise most effectively in a workplace with diverse employees and avoid disputes arising from ineffective communications ?		X			
ensure the provision of requested religious accommodations when such accommodations do not cause an undue hardship?		X			
ensure the provision of requested disability accommodations to qualified individuals with disabilities when such accommodations do not cause an undue hardship?		X			
Have all employees been informed about what behaviors are inappropriate in the workplace and that this behavior may result in disciplinary actions? Describe what means were utilized by the agency to so inform its workforce about the penalties for unacceptable behavior.		X			
Have the procedures for reasonable accommodation for individuals with disabilities been made readily available/accessible to all employees by disseminating such procedures during orientation of new employees and by making such procedures available on the World Wide Web or Internet?		X			
Have managers and supervisor been trained on their responsibilities under the procedures for reasonable accommodation?		X			

Essential Element B: INTEGRATION OF EEO INTO THE AGENCY'S STRATEGIC MISSION Requires that the agency's EEO programs be organized and structured to maintain a workplace that is free from discrimination in any of the agency's policies, procedures or practices and supports the agency's strategic mission.					
Compliance Indicator	The reporting structure for the EEO Program provides the Principal EEO Official with appropriate authority and resources to effectively carry out a successful EEO Program.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Is the EEO Director under the direct supervision of the agency head? [see 29 CFR §1614.102(b)(4)] For subordinate level reporting components, is the EEO Director/Officer under the immediate supervision of the lower level component's head official? (For example, does the Regional EEO Officer report to the Regional Administrator?)			X		The EEO Director is under the direct supervision of the Executive Director for administrative (supervisory) matters, and has full access to the Chairman for EEO program issues as needed.
Are the duties and responsibilities of EEO officials clearly defined?		X			
Do the EEO officials have the knowledge, skills, and abilities to carry out the duties and responsibilities of their positions?		X			
If the agency has 2nd level reporting components, are there organizational charts that clearly define the reporting structure for EEO programs?		X			
If the agency has 2nd level reporting components, does the agency-wide EEO Director have authority for the EEO programs within the subordinate reporting		X			
If not, please describe how EEO program authority is delegated to subordinate reporting components.		X			
Compliance Indicator	The EEO Director and other EEO professional staff responsible for EEO programs have regular and effective means of informing the agency head and senior management officials of the status of EEO programs and are involved in, and consulted on, management/personnel actions.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Does the EEO Director/Officer have a regular and effective means of informing the agency head and other top management officials of the effectiveness, efficiency and legal compliance of the agency's EEO program?		X			
Following the submission of the immediately preceding FORM 715-01, did the EEO Director/Officer present to the head of the agency and other senior officials the "State of the Agency" briefing covering all components of the EEO report, including an assessment of the performance of the agency in each of the six elements of the Model EEO Program and a report on the progress of the agency in completing its barrier analysis including any barriers it identified and/or eliminated or reduced the impact of?		X			
Are EEO program officials present during agency deliberations prior to decisions regarding recruitment strategies, vacancy projections, succession planning, selections		X			
Does the agency consider whether any group of employees or applicants might be negatively impacted prior to making human resource decisions such as reorganizations and re-alignments?		X			

Are management/personnel policies, procedures and practices examined at regular intervals to assess whether there are hidden impediments to the realization of equality of opportunity for any group(s) of employees or applicants? [see 29 C.F.R. § 1614.102(b)(3)]		X			
Is the EEO Director included in the agency's strategic planning, especially the agency's human capital plan, regarding succession planning, training, etc., to ensure		X			
Compliance Indicator	The agency has committed sufficient human resources and budget allocations to its EEO programs to ensure successful operation.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Does the EEO Director have the authority and funding to ensure implementation of agency EEO action plans to improve EEO program efficiency and/or eliminate identified barriers to the realization of equality of opportunity?		X			
Are sufficient personnel resources allocated to the EEO Program to ensure that agency self-assessments and self-analyses prescribed by EEO MD-715 are conducted annually and to maintain an effective complaint processing system?		X			
Are statutory/regulatory EEO related Special Emphasis Programs sufficiently		X			
Federal Women's Program - 5 U.S.C. 7201; 38 U.S.C. 4214; Title 5 CFR, Subpart B, 720.204		X			
Hispanic Employment Program - Title 5 CFR, Subpart B, 720.204		X			
People With Disabilities Program Manager; Selective Placement Program for Individuals With Disabilities - Section 501 of the Rehabilitation Act; Title 5 U.S.C. Subpart B, Chapter 31, Subchapter I-3102; 5 CFR 213.3102(t) and (u); 5 CFR 315.709		X			
Are other agency special emphasis programs monitored by the EEO Office for coordination and compliance with EEO guidelines and principles, such as FEORP - 5 CFR 720; Veterans Employment Programs; and Black/African American; American Indian/Alaska Native, Asian American/Pacific Islander programs?		X			
Compliance Indicator	The agency has committed sufficient budget to support the success of its EEO Programs.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Are there sufficient resources to enable the agency to conduct a thorough barrier analysis of its workforce, including the provision of adequate data collection and tracking systems		X			
Is there sufficient budget allocated to all employees to utilize, when desired, all EEO programs, including the complaint processing program and ADR, and to make a request for reasonable accommodation? (Including subordinate level reporting components?)		X			
Has funding been secured for publication and distribution of EEO materials (e.g. harassment policies, EEO posters, reasonable accommodations procedures, etc.)?		X			
Is there a central fund or other mechanism for funding supplies, equipment and services necessary to provide disability accommodations?		X			
Does the agency fund major renovation projects to ensure timely compliance with Uniform Federal Accessibility Standards?		X			

Is the EEO Program allocated sufficient resources to train all employees on EEO Programs, including administrative and judicial remedial procedures available to employees?	X			
Is there sufficient funding to ensure the prominent posting of written materials in all personnel and EEO offices? [see 29 C.F.R. § 1614.102(b)(5)]	X			
Is there sufficient funding to ensure that all employees have access to this training and information?	X			
Is there sufficient funding to provide all managers and supervisors with training and periodic up-dates on their EEO responsibilities:				
for ensuring a workplace that is free from all forms of discrimination, including harassment and retaliation?	X			
to provide religious accommodations?	X			
to provide disability accommodations in accordance with the agency's written procedures?	X			
in the EEO discrimination complaint process?	X			
to participate in ADR?	X			

Essential Element C: MANAGEMENT AND PROGRAM ACCOUNTABILITY This element requires the Agency Head to hold all managers, supervisors, and EEO Officials responsible for the effective implementation of the agency's EEO Program and Plan.					
Compliance Indicator	EEO program officials advise and provide appropriate assistance to managers/supervisors about the status of EEO programs within each manager's or supervisor's area or responsibility.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Are regular (monthly/quarterly/semi-annually) EEO updates provided to management/supervisory officials by EEO program officials?		X			
Do EEO program officials coordinate the development and implementation of EEO Plans with all appropriate agency managers to include Agency Counsel, Human Resource Officials, Finance, and the Chief information Officer?		X			
Compliance Indicator	The Human Resources Director and the EEO Director meet regularly to assess whether personnel programs, policies, and procedures are in conformity with instructions contained in EEOC management directives. [see 29 CFR § 1614.102(b)(3)]	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Have time-tables or schedules been established for the agency to review its Merit Promotion Program Policy and Procedures for systemic barriers that may be impeding full participation in promotion opportunities by all groups?			X		See Part H.
Have time-tables or schedules been established for the agency to review its Employee Recognition Awards Program and Procedures for systemic barriers that may be impeding full participation in the program by all groups?			X		See Part H.
Have time-tables or schedules been established for the agency to review its Employee Development/Training Programs for systemic barriers that may be impeding full participation in training opportunities by all groups?			X		See Part H.
Compliance Indicator	When findings of discrimination are made, the agency explores whether or not disciplinary actions should be taken.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Does the agency have a disciplinary policy and/or a table of penalties that covers employees found to have committed discrimination?			X		They would be handled on a case by case basis.
Have all employees, supervisors, and managers been informed as to the penalties for being found to perpetrate discriminatory behavior or for taking personnel actions based upon a prohibited basis?		X			
Has the agency, when appropriate, disciplined or sanctioned managers/supervisors or employees found to have discriminated over the past two years?		X			
If so, cite number found to have discriminated and list penalty /disciplinary action for each type of violation.					
Does the agency promptly (within the established time frame) comply with EEOC, Merit Systems Protection Board, Federal Labor Relations Authority, labor arbitrators, and District Court orders?		X			

Does the agency review disability accommodation decisions/actions to ensure compliance with its written procedures and analyze the information tracked for trends, problems, etc.??	X			
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Essential Element D: PROACTIVE PREVENTION					
Requires that the agency head makes early efforts to prevent discriminatory actions and eliminate barriers to equal employment opportunity in the workplace.					
Compliance Indicator	Analyses to identify and remove unnecessary barriers to employment are conducted throughout the year.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Do senior managers meet with and assist the EEO Director and/or other EEO Program Officials in the identification of barriers that may be impeding the realization of equal employment opportunity?		X			
When barriers are identified, do senior managers develop and implement, with the assistance of the agency EEO office, agency EEO Action Plans to eliminate said barriers?		X			
Do senior managers successfully implement EEO Action Plans and incorporate the EEO Action Plan Objectives into agency strategic plans?		X			
Are trend analyses of workforce profiles conducted by race, national origin, sex and disability?		X			
Are trend analyses of the workforce's major occupations conducted by race, national origin, sex and disability?		X			
Are trends analyses of the workforce's grade level distribution conducted by race, national origin, sex and disability?		X			
Are trend analyses of the workforce's compensation and reward system conducted by race, national origin, sex and disability?		X			
Are trend analyses of the effects of management/personnel policies, procedures and practices conducted by race, national origin, sex and disability?		X			
Compliance Indicator	The use of Alternative Dispute Resolution (ADR) is encouraged by senior management.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Are all employees encouraged to use ADR?		X			
Is the participation of supervisors and managers in the ADR process required?		X			

Essential Element E: EFFICIENCY Requires that the agency head ensure that there are effective systems in place for evaluating the impact and effectiveness of the agency's EEO Programs as well as an efficient and fair dispute resolution process.					
Compliance Indicator	The agency has sufficient staffing, funding, and authority to achieve the elimination of identified barriers.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Does the EEO Office employ personnel with adequate training and experience to conduct the analyses required by MD-715 and these instructions?		X			
Has the agency implemented an adequate data collection and analysis systems that permit tracking of the information required by MD-715 and these instructions?			X		See Part H.
Have sufficient resources been provided to conduct effective audits of field facilities' efforts to achieve a model EEO program and eliminate discrimination under Title VII and the Rehabilitation Act?		X			
Is there a designated agency official or other mechanism in place to coordinate or assist with processing requests for disability accommodations in all major components of the agency?		X			
Are 90% of accommodation requests processed within the time frame set forth in the agency procedures for reasonable accommodation?		X			
Compliance Indicator	The agency has an effective complaint tracking and monitoring system in place to increase the effectiveness of the agency's EEO Programs.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Does the agency use a complaint tracking and monitoring system that allows identification of the location, and status of complaints and length of time elapsed at each stage of the agency's complaint resolution process?			X		See Part H.
Does the agency's tracking system identify the issues and bases of the complaints, the aggrieved individuals/complainants, the involved management officials and other information to analyze complaint activity and trends?			X		See Part H.
Does the agency hold contractors accountable for delay in counseling and investigation processing times?		X			
If yes, briefly describe how:					
Does the agency monitor and ensure that new investigators, counselors, including contract and collateral duty investigators, receive the 32 hours of training required in accordance with EEO Management Directive MD-110?		X			
Does the agency monitor and ensure that experienced counselors, investigators, including contract and collateral duty investigators, receive the 8 hours of refresher training required on an annual basis in accordance with EEO Management Directive MD-110?		X			
Compliance Indicator	The agency has an effective complaint tracking and monitoring system in place to increase the effectiveness of the agency's EEO Programs.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	

Are benchmarks in place that compare the agency's discrimination complaint processes with 29 C.F.R. Part 1614?		X			
Does the agency provide timely EEO counseling within 30 days of the initial request or within an agreed upon extension in writing, up to 60 days?		X			
Does the agency provide an aggrieved person with written notification of his/her rights and responsibilities in the EEO process in a timely fashion?		X			
Does the agency complete the investigations within the applicable prescribed time frame?		X			
When a complainant requests a final agency decision, does the agency issue the decision within 60 days of the request?		X			
When a complainant requests a hearing, does the agency immediately upon receipt of the request from the EEOC AJ forward the investigative file to the EEOC Hearing Office?		X			
When a settlement agreement is entered into, does the agency timely complete any obligations provided for in such agreements?		X			
Does the agency ensure timely compliance with EEOC AJ decisions which are not the subject of an appeal by the agency?		X			
Compliance Indicator	There is an efficient and fair dispute resolution process and effective systems for evaluating the impact and effectiveness of the agency's EEO complaint processing program.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
In accordance with 29 C.F.R. §1614.102(b), has the agency established an ADR Program during the pre-complaint and formal complaint stages of the EEO process?		X			
Does the agency require all managers and supervisors to receive ADR training in accordance with EEOC (29 C.F.R. Part 1614) regulations, with emphasis on the federal government's interest in encouraging mutual resolution of disputes and the benefits associated with utilizing ADR?		X			
After the agency has offered ADR and the complainant has elected to participate in ADR, are the managers required to participate?		X			
Does the responsible management official directly involved in the dispute have settlement authority?		X			

Compliance Indicator	The agency has effective systems in place for maintaining and evaluating the impact and effectiveness of its EEO programs.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Does the agency have a system of management controls in place to ensure the timely, accurate, complete and consistent reporting of EEO complaint data to the		X			
Does the agency provide reasonable resources for the EEO complaint process to ensure efficient and successful operation in accordance with 29 C.F.R. § 1614.102		X			
Does the agency EEO office have management controls in place to monitor and ensure that the data received from Human Resources is accurate, timely received, and contains all the required data elements for submitting annual reports to the EEOC?			X		Reliability coefficients are under development.

Do the agency's EEO programs address all of the laws enforced by the EEOC?		X			
Does the agency identify and monitor significant trends in complaint processing to determine whether the agency is meeting its obligations under Title VII and the Rehabilitation Act?		X			
Does the agency track recruitment efforts and analyze efforts to identify potential barriers in accordance with MD-715 standards?			X		See Part H.
Does the agency consult with other agencies of similar size on the effectiveness of their EEO programs to identify best practices and share ideas?		X			
Compliance Indicator	The agency ensures that the investigation and adjudication function of its complaint resolution process are separate from its legal defense arm of agency or other offices with conflicting or competing interests.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Are legal sufficiency reviews of EEO matters handled by a functional unit that is separate and apart from the unit which handles agency representation in EEO		X			
If applicable, are processing time frames incorporated for the legal counsel's sufficiency review for timely processing of complaints?		X			
Does the agency discrimination complaint process ensure a neutral adjudication function?		X			

Essential Element F: RESPONSIVENESS AND LEGAL COMPLIANCE This element requires that federal agencies are in full compliance with EEO statutes and EEOC regulations, policy guidance, and other written instructions.					
Compliance Indicator	Agency personnel are accountable for timely compliance with orders issued by EEOC Administrative Judges.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Does the agency have a system of management control to ensure that agency officials timely comply with any orders or directives issued by EEOC Administrative			X		Dialogue began in the summer of 2013 to develop policies and procedures to resolve EEO complaints and monitor compliance.
Compliance Indicator	The agency's system of management controls ensures that the agency timely completes all ordered corrective action and submits its compliance report to EEOC within 30 days of such completion.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Does the agency have control over the payroll processing function of the agency? If Yes, answer the two questions below.			X		
Are there steps in place to guarantee responsive, timely, and predictable processing of ordered monetary relief?				X	
Are procedures in place to promptly process other forms of ordered relief?				X	
Compliance Indicator	The agency's system of management controls ensures that the agency timely completes all ordered corrective action and submits its compliance report to EEOC within 30 days of such completion.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Is compliance with EEOC orders encompassed in the performance standards of any agency employees?			X		Senior standards under review.
If so, please identify the employees by title in the comments section, and state how performance is measured.					
Is the unit charged with the responsibility for compliance with EEOC orders located in the EEO office?		X			
If not, please identify the unit in which it is located, the number of employees in the unit, and their grade levels in the comments section.					
Have the involved employees received any formal training in EEO compliance?		X			
Does the agency promptly provide to the EEOC the following documentation for completing compliance:					
Attorney Fees: Copy of check issued for attorney fees and /or a narrative statement by an appropriate agency official, or agency payment order dating the dollar amount of attorney fees paid?		X			

Awards: A narrative statement by an appropriate agency official stating the dollar amount and the criteria used to calculate the award?	X			
Back Pay and Interest: Computer print-outs or payroll documents outlining gross back pay and interest, copy of any checks issued, narrative statement by an appropriate agency official of total monies paid?	X			
Compensatory Damages: The final agency decision and evidence of payment, if	X			
Training: Attendance roster at training session(s) or a narrative statement by an appropriate agency official confirming that specific persons or groups of persons attended training on a date certain?	X			
Personnel Actions (e.g., Reinstatement, Promotion, Hiring, Reassignment): Copies of SF-50s	X			
Posting of Notice of Violation: Original signed and dated notice reflecting the dates that the notice was posted. A copy of the notice will suffice if the original is not available.	X			
Supplemental Investigation: 1. Copy of letter to complainant acknowledging receipt from EEOC of remanded case. 2. Copy of letter to complainant transmitting the Report of Investigation (not the ROI itself unless specified). 3. Copy of request for a hearing (complainant's request or agency's transmittal letter).	X			
Final Agency Decision (FAD): FAD or copy of the complainant's request for a hearing.	X			
Restoration of Leave: Print-out or statement identifying the amount of leave restored, if applicable. If not, an explanation or statement.	X			
Civil Actions: A complete copy of the civil action complaint demonstrating same issues raised as in compliance matter.	X			
Settlement Agreements: Signed and dated agreement with specific dollar amounts, if applicable. Also, appropriate documentation of relief is provided.	X			

Footnotes:

1. See 29 C.F.R. § 1614.102.

2. When an agency makes modifications to its procedures, the procedures must be resubmitted to the Commission. See EEOC Policy Guidance on Executive Order 13164: Establishing Procedures to Facilitate the Provision of Reasonable Accommodation (10/20/00), Question 28

EEOC FORM 715-01 PART H		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
Commodity Futures Trading Commission		FY2012	
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	The Human Resources Director and the EEO Director meet regularly to assess whether personnel programs, policies, and procedures are in conformity with instructions contained in EEOC management directives. [see 29 CFR § 1614.102(b)(3)]		
OBJECTIVE:	Establish schedules and methods to review merit promotion, awards, and training programs, policies and procedures for systemic barriers.		
RESPONSIBLE OFFICIAL:	ODI Director		
DATE OBJECTIVE INITIATED:	10/01/12		
TARGET DATE FOR COMPLETION OF OBJECTIVE:	09/30/13		
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:			
Acquire statistical software TARGET DATE: 10/31/2012			
Develop evaluation methodology TARGET DATE: 07/31/2013			
Write program to download data TARGET DATE: 09/30/2013			
Begin analyses using FY13 data. TARGET DATE: 10/31/2013			
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE			
In December 2012-January 2013, ODI and HRB wrote test programs to download required data. The programs were tested in the Spring of 2013 and will be finalized during the summer of 2013.			
Commodity Futures Trading Commission		FY2012	
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	Has the agency implemented an adequate data collection and analysis systems that permit tracking of the information required by MD-715 and these instructions?		
OBJECTIVE:	Automate manual processes to permit analyses of the information required by MD-715.		
RESPONSIBLE OFFICIAL:	ODI Director		
DATE OBJECTIVE INITIATED:	09/01/12		
TARGET DATE FOR COMPLETION OF OBJECTIVE:	03/31/13		
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:			
Acquire Monster to facilitate analysis of applicant data TARGET DATE: 09/30/2012			
Acquire SAS to analyze personnel data TARGET DATE: 10/31/2012			

Develop methods to merge training data with personnel data

TARGET DATE: 03/31/2013

REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE

CFTC acquired Monster (automated hiring system) to process applicant data. The new system will allow tracking of applicant data and will facilitate reporting of such data beginning with FY13.

ODI staff met with ODT and HRB staff in December of 2012 to discuss data requirements and protocols for merging training data with personnel data.

ODT installed SAS (statistical software) on PC of ODI Director prior to the end of FY12.

Commodity Futures Trading Commission

FY2012

STATEMENT of
MODEL PROGRAM
ESSENTIAL ELEMENT
DEFICIENCY:

The Agency has an effective complaint tracking and monitoring system in place to increase the effectiveness of the Agency's EEO Programs.

OBJECTIVE:

Automate current manual process by acquiring complaint management software to track cases and conduct trend analyses.

RESPONSIBLE OFFICIAL:

ODI Director

DATE OBJECTIVE INITIATED:

07/30/12

TARGET DATE FOR
COMPLETION OF OBJECTIVE:

06/30/13

PLANNED ACTIVITIES TOWARD
COMPLETION OF OBJECTIVE:

Initiate unfunded requirement discussion for FY13 with Executive Director

TARGET DATE: 08/30/2012

Conduct market research based on requirements

TARGET DATE: 03/31/2013

Compete and select vendor

TARGET DATE: 06/30/2013

Train users (ODI staff and collateral-duty EEO Counselors) on new system

TARGET DATE: 09/30/2013

Begin uploading cases into electronic complaint management system.

TARGET DATE: 10/01/2013

REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE

As part of the consideration process to reduce costs in FY13 and avoid furloughs, the electronic complaint management system was placed on the list of unfunded requirements for FY14.

EEOC FORM 715-01 PART I	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT
Commodity Futures Trading Commission	FY2012
STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: Provide a brief narrative describing the condition at issue. How was the condition recognized as a potential barrier?	Persons with Disabilities have low participation in the total workforce (3.4%) and senior level managers (0.9%). In addition, there are no persons with targeted disabilities in 4 of the 5 core occupations: Economist Auditing General Business and Industry General Inspection, Investigation and Compliance IT Management
BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.	<ul style="list-style-type: none"> Analyzed MD-715 Tables B1, B3, B4, and B6 Discussed disability recruitment practices with HR staff, senior managers and business managers
STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.	Lack of strategic objective identifying persons with disabilities as a viable applicant pool from a corporate perspective
OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	Establish partnership with Gallaudet University to position CFTC as a viable employer for disabled graduates and interns
RESPONSIBLE OFFICIAL:	Lorena Carrasco
DATE OBJECTIVE INITIATED:	06/01/12
TARGET DATE FOR COMPLETION OF OBJECTIVE:	04/30/13
EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)
Initiate partnership discussions with Gallaudet University	06/30/12
Include disability as a category of interest in requirements for targeted recruitment strategy plan	08/30/12
Raise competency and ability of CFTC workforce to work with persons with disabilities by conducting a workshop on how to effectively integrate persons with disabilities in the workplace	11/30/12
Sign memorandum of agreement (MOA) with Gallaudet University and identify student interns for the summer of 2013	04/30/13
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE	
CFTC met with Gallaudet in July of 2012 and initiated steps to sign an MOA. As part of this partnership, Gallaudet conducted a two-hour workshop on working effectively with persons with disabilities on November 13, 2012 as part of disability awareness month.	

Commodity Futures Trading Commission		FY2012
STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: Provide a brief narrative describing the condition at issue. How was the condition recognized as a potential barrier?		Groups with low participation in the total workforce: Hispanics (1.6%) compared to the CLF (10.5%)American Indians (0%) compared to the CLF (0.6%) Groups with low participation in core occupations compared to the Relevant CLF: Women in the Economist series Hispanics in the Economist, Auditor, General Attorney, General Business, and Inspection & Compliance series Blacks in the Economist and General Business series American Indians in the Economist, Auditor, General Attorney, General Business, and Inspection & Compliance series Asian Americans/PI in the Economist series Women have low participation in senior management levels (29.7 %) compared to the CFTC (42.3 %)
BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.		<ul style="list-style-type: none"> Analyzed MD-715 Tables A1, A3, A4, and A6 Discussed diversity recruitment practices with HR staff, senior managers and business managers
STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.		Lack of recruitment elements emphasizing diversity from a corporate perspective
OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.		Develop a targeted recruitment plan to complement existing recruitment efforts
RESPONSIBLE OFFICIAL:		Lorena Carrasco, Catherine McCoy
DATE OBJECTIVE INITIATED:		07/01/12
TARGET DATE FOR COMPLETION OF OBJECTIVE:		09/30/13
EEOC FORM 715-01 PART I	EEO Plan To Eliminate Identified Barrier	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:		TARGET DATE (Must be specific)
Identify requirements and compete contract to develop targeted recruitment strategy		08/30/12
Select vendor and have project kick off meeting		09/30/12
Receive final deliverable (targeted recruitment strategy)		06/30/13
Select outreach and partnership activities for inclusion in the FY14 budget		07/30/13
Prepare targeted recruitment plan for implementation in FY14		09/30/13
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
CFTC selected Golden Key in September of 2012 to prepare a targeted recruitment strategy with a corporate emphasis on increasing diversity in core occupations, increasing the participation of women in the senior grade levels, and leveraging student programs to promote CFTC as an employer of choice among persons with disabilities. To date, the vendor has prepared analyses and identified potential partnership opportunities based on feedback from ODI, HRB, and key stakeholders.		

EEOC FORM 715-01 PART J		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted								
PART I Department or Agency Information	1. Agency	1. Commodity Futures Trading Commission								
	1.a. 2nd Level Component	1. a.								
	1.b. 3rd Level or lower	1. b.								
PART II Employment Trend and Special Recruitment for Individuals With Targeted Disabilities	Enter Actual Number at the beginning of FY.		... end of FY.		Net Change				
		Number	%	Number	%	Number	Rate of Change			
	Total Work Force	643	100%	680	100%	37	5.8 %			
	Reportable Disability	15	2.3 %	23	3.4 %	8	53.3 %			
	Targeted Disability*	1	0.2 %	1	0.1 %	0	0.0 %			
	* If the rate of change for persons with targeted disabilities is not equal to or greater than the rate of change for the total workforce, a barrier analysis should be conducted (see below).									
	1. Total Number of Applications Received From Persons With Targeted Disabilities during the reporting period.						0			
	2. Total Number of Selections of Individuals with Targeted Disabilities during the reporting period.						0			
PART III Participation Rates In Agency Employment Programs										
Other Employment/Personnel Programs	TOTAL	Reportable Disability		Targeted Disability		Not Identified		No Disability		
		#	%	#	%	#	%	#	%	
3. Competitive Promotions	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %	
4. Non-Competitive Promotions	19	2	10.5 %	0	0.0 %	0	0.0 %	17	89.5 %	
5. Employee Career Development Programs	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %	
5.a. Grades 5 - 12	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %	
5.b. Grades 13 - 14	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %	
5.c. Grade 15/SES	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %	
6. Employee Recognition and Awards	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %	
6.a. Time-Off Awards (Total hrs awarded)	4239	87	2.1 %	0	0.0 %	50	1.2 %	4102	96.8 %	
6.b. Cash Awards (total \$\$\$ awarded)	959688	23700	2.5 %	4000	0.4 %	15015	1.6 %	920973	96.0 %	
6.c. Quality-Step Increase	0	0	0.0 %	0	0.0 %	0	0.0 %	0	0.0 %	

EEOC FORM 715-01		Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities	
Part IV Identification and Elimination of Barriers		Agencies with 1,000 or more permanent employees MUST conduct a barrier analysis to address any barriers to increasing employment opportunities for employees and applicants with targeted disabilities using FORM 715-01 PART I. Agencies should review their recruitment, hiring, career development, promotion, and retention of individuals with targeted disabilities in order to determine whether there are any barriers.	
Part V Goals for Targeted Disabilities		<p>Agencies with 1,000 or more permanent employees are to use the space provided below to describe the strategies and activities that will be undertaken during the coming fiscal year to maintain a special recruitment program for individuals with targeted disabilities and to establish specific goals for the employment and advancement of such individuals. For these purposes, targeted disabilities may be considered as a group. Agency goals should be set and accomplished in such a manner as will effect measurable progress from the preceding fiscal year. Agencies are encouraged to set a goal for the hiring of individuals with targeted disabilities that is at least as high as the anticipated losses from this group during the next reporting period, with the objective of avoiding a decrease in the total participation rate of employees with disabilities.</p> <p>Goals, objectives and strategies described below should focus on internal as well as external sources of candidates and include discussions of activities undertaken to identify individuals with targeted disabilities who can be (1) hired; (2) placed in such a way as to improve possibilities for career development; and (3) advanced to a position at a higher level or with greater potential than the position currently occupied.</p>	
Established a Numerical Goal?		No	
Goal			
Strategies			
Objectives			
Accomplishments			

Attachment A: CFTC EEO Statement



U.S. Commodity Futures Trading Commission
Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581

Gary Gensler
Chairman

www.cftc.gov

(202) 418-5050
(202) 418-5533 Facsimile

MEMORANDUM

TO: ALL CFTC EMPLOYEES
FROM: Gary Gensler, Chairman
DATE: March 1, 2012
SUBJECT: CFTC's EEO Statement

As Chairman of the Commodity Futures Trading Commission (CFTC), I would like to reiterate my commitment to a CFTC that is fair, diverse, and free from unlawful discrimination, harassment, and retaliation.

In order to maintain a high performing organization in the 21st century, we all must be committed to high standards of honesty, integrity, impartiality and conduct. Supervisors and management bear a special responsibility and must take the lead in charting the course for equal employment opportunity in the workplace.

Attached is a summary of CFTC's EEO, Anti-harassment and Reasonable Accommodation policies. All employees must thoroughly review the summary and govern themselves in accordance with all applicable legal requirements.

Should you have additional questions, please contact the CFTC Office of Diversity and Inclusion.

Attachment

Summary of CFTC EEO, Workplace Harassment, Reasonable Accommodation and No FEAR Policies

The Commodity Futures Trading Commission (CFTC) is committed to ensuring equal employment opportunity (EEO), promoting diversity and inclusion, and resolving workplace conflict constructively in order to maintain a high performing workforce in the 21st century. As Chairman of CFTC, I strongly endorse the CFTC's unequivocal commitment to these fundamental principles. To that end, the CFTC will vigorously enforce all applicable Federal EEO laws, regulations, Executive Orders, and Management Directives to ensure equal opportunity in the workplace and full protection of CFTC employees. This document summarizes the CFTC EEO Policies. For additional information consult the CFTC Office of Equal Employment Opportunity Office.

EEO and Prohibited Discrimination

The CFTC will not tolerate discrimination or harassment on the basis of pregnancy, race, color, religion, national origin, sex, age, disability, or retaliation for opposing discriminatory practices, or participating in the discrimination complaint process. Additionally, on November 21, 2009, Congress created new federal protections against genetic discrimination in the workplace, with the passing of the Genetic Information Nondiscrimination Act. This new law prohibits use of genetic information and family medical history in making employment decisions. The aforementioned protections apply to all personnel practices and terms and conditions of employment, including recruitment, hiring, promotions, transfers, reassignments, training, career development, benefits, and separation. In addition, the CFTC will provide reasonable accommodation to qualified individuals with disabilities and for religious practices, as provided by the applicable laws and procedures, as further described below.

The CFTC's EEO Office is responsible for administering an impartial and effective complaints-management process to address and resolve complaints of employment discrimination at the earliest possible stage. The regulations governing the Federal EEO complaint process can be found in 29 CFR Part 1614. Employees seeking redress under this process must contact an EEO Counselor in person, by phone or in writing within 45 calendar days of the date of the alleged incident. The list of CFTC EEO Counselors is listed on Open Interest under the "EEO" link.

While parental status, marital status, and sexual orientation are not currently listed as protected basis in Title VII of the Civil Rights Act, discrimination on any of these bases is strictly prohibited by CFTC. Complaints of discrimination filed on these bases will be processed according to the aforementioned Federal EEO complaint process up to and through the investigation state of the EEO process. The CFTC EEO Office will issue a Final Agency Decision on the merits of the claim within 60 days of its receipt of the complaint file. Complaints filed solely on these bases will not proceed to the U.S. Equal Employment Opportunity Commission.

Workplace Harassment

Workplace harassment is a form of prohibited discrimination defined as any unwelcome, hostile, or offensive conduct taken on the basis of pregnancy, race, color, religion, national origin, sex, sexual orientation, age or disability that interferes with an individual's performance or creates an intimidating, hostile, or offensive work environment. The CFTC will not tolerate workplace harassment by or against CFTC employees, applicants, contract employees, clients, customers, and anyone doing business with CFTC.

Sexual harassment is a form of sex discrimination that involves unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of sexual nature when: (1) submission to or rejection of such conduct is made either explicitly or implicitly a term or condition of an individual; or (2) submission to, or rejections of, such conduct is made a basis of employment decisions affecting such an individual; or (3) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive work environment, whether or not such conduct is specifically directed against a particular individual.

Both supervisors and employees bear responsibility in maintaining a work environment free from discrimination and harassment. Employees must not engage in harassing conduct and should immediately report such conduct to their supervisor, another management official, or the EEO Director.

If an employee brings an issue of harassment to a supervisor's attention, the supervisor must promptly report the matter to the EEO Director or to the Human Resources Office. Allegations of discrimination and/or harassment of any kind will be taken seriously and appropriate corrective action – up to and including termination – will be taken if the allegations are substantiated. Supervisors are strongly encouraged to seek guidance from the EEO Office when addressing issues of discrimination or harassment. For additional information, please refer to the CFTC Sexual Harassment Policy on Open Interest.

NO FEAR/Whistleblower Protections

The Notification and Federal Employee Anti-discrimination and Retaliation Act (No FEAR) of 2002 protects Federal employees from unlawful discrimination and reprisal for participation in protected EEO and whistleblowing activity. The No Fear Act requires all employees to take No Fear training within 90 days of their initial hire and every 2 years thereafter. This training is located on-line by SkillSoft. SkillSoft training log-in procedures are located on Open Interest.

The Whistleblower Protection Act prohibits against retaliation directed toward federal employees or applicants for federal employment who report official wrongdoing, including gross waste, fraud and abuse of authority. Retaliation against individuals for reporting violations of laws, opposition to discrimination, or participation in the discrimination-complaint process is unlawful and will not be tolerated. This includes retaliation against complainants, witnesses, and others

who provide information concerning such claims. The U.S. Office of Special Counsel is responsible for addressing complaints of whistleblower retaliation (www.osc.gov).

Reasonable Accommodation

CFTC is committed to providing reasonable accommodation to qualified individuals with disabilities and for certain religious practices in accordance with law, unless doing so causes undue hardship. For persons with disabilities, a reasonable accommodation is any change in the work environment or in the manner by which work is accomplished that enables those persons to enjoy equal employment opportunities and perform the essential functions of their jobs. Individuals who believe they need such assistance should request accommodation from their immediate supervisors. Supervisors are encouraged to consult with the CFTC's Disability Program Manager, Kitty McCoy, in responding to such requests. Processing of requests for reasonable accommodation will be consistent with CFTC's Reasonable Accommodation Policy, located on Open Interest under the "EEO" link.

For more information, please contact, Kitty McCoy, Director for Human Resources and CFTC Disability Program Manager, or Pam Gibbs, Director for the EEO Office.

Alternative Dispute Resolution

To maintain a respectful, productive and harmonious work environment, it is the policy of the CFTC to resolve workplace disputes at the earliest possible stage. Alternative Dispute Resolution (ADR) services such as mediation and facilitation are available to assist employees in resolving conflicts constructively. For more information, please review CFTC's ADR Policy on Open Interest.

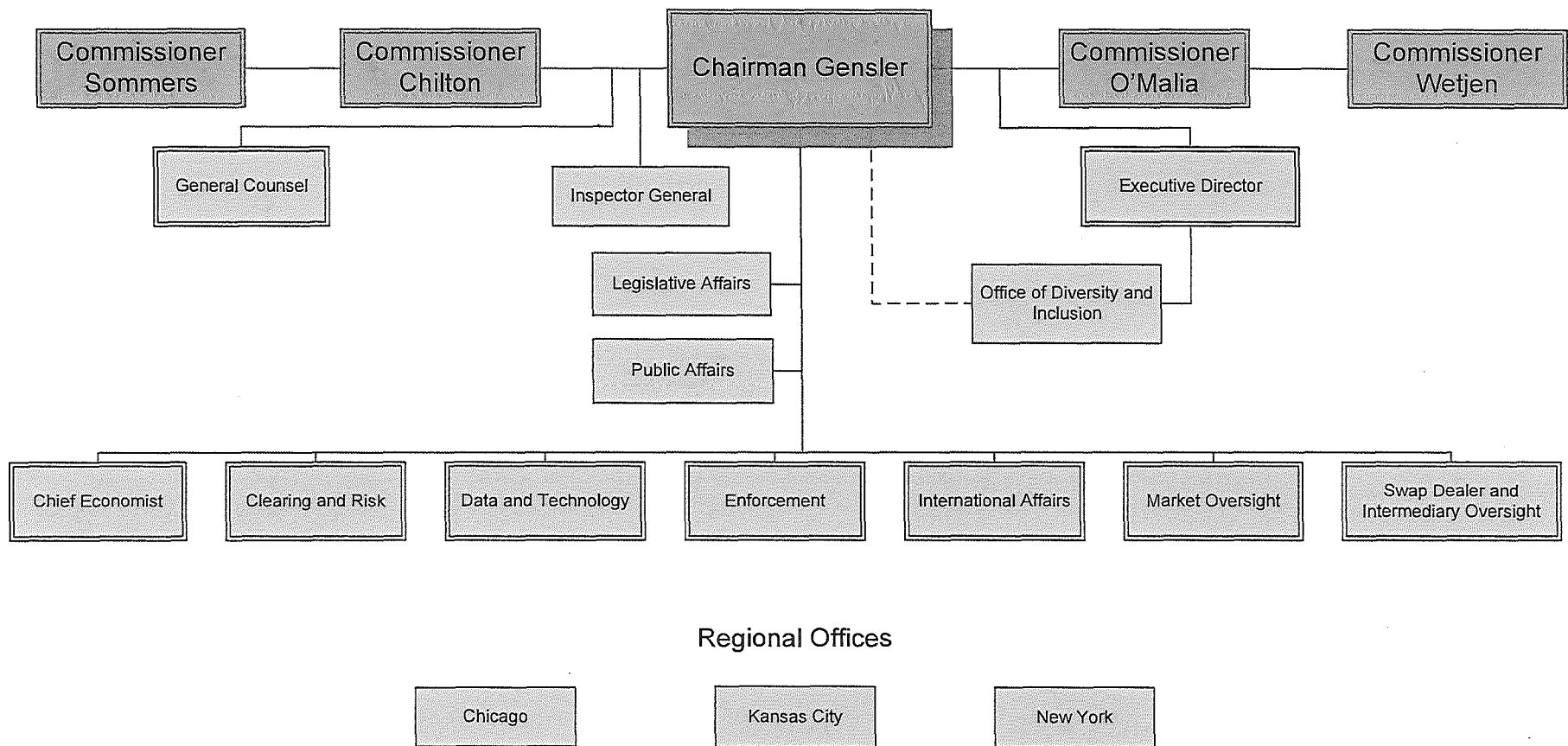
Toward Diversity and Inclusion

To be a high performing, public service organization in the 21st century, CFTC must cultivate an inclusive work environment that values diversity in all its aspects. Workforce diversity offers incalculable benefits and higher performance outcomes for CFTC as well as for the public. Diversity and inclusion in the workplace are more than legal imperatives; they are business imperatives in the global community of this millennium. All CFTC employees must create an environment that is free of barriers to full participation, values diversity of perspectives, and empowers every individual to contribute to his or her fullest potential in service to our Nation. All CFTC employees bear the responsibility to ensure that discrimination is not tolerated and that diversity is valued. Supervisors and managers bear a special responsibility to ensure CFTC promotes the complementary principles of equity, diversity, and inclusion in the workplace.

Attachment B: CFTC Organizational Chart

The CFTC Organization

10/25/2011



Attachment C:
Annual Federal EEO Statistical Report of Discrimination Complaints
(462 Report)

ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY
STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS
(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)

AGENCY OR DEPARTMENT: Commodity Futures Trading Commission

REPORTING PERIOD: FY 2012

PART I - PRE-COMPLAINT ACTIVITIES

EEO COUNSELOR		
	COUNSELINGS	INDIVIDUALS
A. INTENTIONALLY LEFT BLANK		
ADR INTAKE OFFICER		
	COUNSELINGS	INDIVIDUALS
B. INTENTIONALLY LEFT BLANK		
TOTAL COMPLETED/ENDED COUNSELINGS		
	COUNSELINGS	INDIVIDUALS
C. TOTAL COMPLETED/ENDED COUNSELINGS	1	1
1. COUNSELED WITHIN 30 DAYS	1	1
2. COUNSELED WITHIN 31 TO 90 DAYS	0	0
a. COUNSELED WITHIN WRITTEN EXTENSION PERIOD NO LONGER THAN 60 DAYS	0	0
b. COUNSELED WITHIN 90 DAYS WHERE INDIVIDUAL PARTICIPATED IN ADR	0	0
c. COUNSELED WITHIN 31-90 DAYS THAT WERE UNTIMELY	0	0
3. COUNSELED BEYOND 90 DAYS	0	0
4. COUNSELED DUE TO REMANDS	0	0
D. PRE-COMPLAINT ACTIVITIES		
	COUNSELINGS	INDIVIDUALS
1. ON HAND AT THE BEGINNING OF THE REPORTING PERIOD	1	1
2. INITIATED DURING THE REPORTING PERIOD	1	1
3. COMPLETED/ENDED COUNSELINGS	1	1
a. SETTLEMENTS (MONETARY AND NON-MONETARY)	0	0
b. WITHDRAWALS/NO COMPLAINT FILED	0	0
c. COUNSELINGS COMPLETED/ENDED IN REPORTING PERIOD THAT RESULTED IN COMPLAINT FILINGS IN REPORTING PERIOD	1	1
d. DECISION TO FILE COMPLAINT PENDING AT THE END OF THE REPORTING PERIOD	0	0
4. COUNSELINGS PENDING AT THE END OF THE REPORTING PERIOD	1	1

E. NON-ADR SETTLEMENTS WITH MONETARY BENEFITS			
	COUNSELINGS	INDIVIDUALS	AMOUNT
TOTAL	0	0	\$ 0.00
1. COMPENSATORY DAMAGES	0	0	\$ 0.00
2. BACKPAY/FRONTPAY	0	0	\$ 0.00
3. LUMP SUM PAYMENT	0	0	\$ 0.00
4. ATTORNEY FEES AND COSTS	0	0	\$ 0.00
5.			\$
6.			\$
7.			\$
F. NON-ADR SETTLEMENTS WITH NON-MONETARY BENEFITS			
	COUNSELINGS	INDIVIDUALS	
TOTAL	0	0	
1. HIRES	0	0	
a. RETROACTIVE	0	0	
b. NON-RETROACTIVE	0	0	
2. PROMOTIONS	0	0	
a. RETROACTIVE	0	0	
b. NON-RETROACTIVE	0	0	
3. EXPUNGEMENTS	0	0	
4. REASSIGNMENTS	0	0	
5. REMOVALS RESCINDED	0	0	
a. REINSTATEMENT	0	0	
b. VOLUNTARY RESIGNATION	0	0	
6. ACCOMMODATIONS	0	0	
7. TRAINING	0	0	
8. APOLOGY	0	0	
9. DISCIPLINARY ACTIONS	0	0	
a. RESCINDED	0	0	
b. MODIFIED	0	0	
10. PERFORMANCE EVALUATION MODIFIED	0	0	
11. LEAVE RESTORED	0	0	
12.			
13.			
G. ADR SETTLEMENTS WITH MONETARY BENEFITS			
	COUNSELINGS	INDIVIDUALS	AMOUNT
TOTAL	0	0	\$ 0.00
1. COMPENSATORY DAMAGES	0	0	\$ 0.00
2. BACKPAY/FRONTPAY	0	0	\$ 0.00
3. LUMP SUM PAYMENT	0	0	\$ 0.00
4. ATTORNEY FEES AND COSTS	0	0	\$ 0.00
5.			\$
6.			\$
7.			\$
H. ADR SETTLEMENTS WITH NON-MONETARY BENEFITS			
	COUNSELINGS	INDIVIDUALS	
TOTAL	0	0	
1. HIRES	0	0	
a. RETROACTIVE	0	0	
b. NON-RETROACTIVE	0	0	
2. PROMOTIONS	0	0	
a. RETROACTIVE	0	0	
b. NON-RETROACTIVE	0	0	
3. EXPUNGEMENTS	0	0	
4. REASSIGNMENTS	0	0	
5. REMOVALS RESCINDED	0	0	
a. REINSTATEMENT	0	0	
b. VOLUNTARY RESIGNATION	0	0	
6. ACCOMMODATIONS	0	0	
7. TRAINING	0	0	
8. APOLOGY	0	0	
9. DISCIPLINARY ACTIONS	0	0	
a. RESCINDED	0	0	
b. MODIFIED	0	0	
10. PERFORMANCE EVALUATION MODIFIED	0	0	
11. LEAVE RESTORED	0	0	
12.			
13.			
I. NON-ADR SETTLEMENTS			
	COUNSELINGS	INDIVIDUALS	
TOTAL	0	0	

ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS

(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)

AGENCY OR DEPARTMENT: Commodity Futures Trading Commission

REPORTING PERIOD: FY 2012

PART II - FORMAL COMPLAINT ACTIVITIES

3	A. COMPLAINTS ON HAND AT THE BEGINNING OF THE REPORTING PERIOD
1	B. COMPLAINTS FILED
0	C. REMANDS (sum of lines C1+C2+C3)
0	C.1. REMANDS (NOT INCLUDED IN A OR B)
0	C.2. REMANDS (INCLUDED IN A OR B)
0	C.3. NUMBER OF ADDITIONAL REMANDS IN THIS REPORTING PERIOD THAT ARE NOT CAPTURED IN C.1 OR C.2 ABOVE
0	C.4. ADDITIONAL CLOSURES IN THIS REPORTING PERIOD NOT REFLECTED IN F, OR H, THAT RESULTED FROM REMANDS
4	D. TOTAL COMPLAINTS (sum of lines A+B+C1)
4	E. COMPLAINTS IN LINE D THAT WERE NOT CONSOLIDATED
2	F. COMPLAINTS IN LINE E CLOSED DURING REPORT PERIOD
0	G. COMPLAINTS IN LINE D THAT WERE CONSOLIDATED
0	H. COMPLAINTS IN LINE G CLOSED DURING REPORT PERIOD
2	I. COMPLAINTS ON HAND AT THE END OF THE REPORTING PERIOD (Line D - (F+H)) + [(C2 + C3) - C4]
1	J. INDIVIDUALS FILING COMPLAINTS (Complainants)
0	K. NUMBER OF JOINT PROCESSING UNITS FROM CONSOLIDATION OF COMPLAINTS

PART III - AGENCY RESOURCES, TRAINING, REPORTING LINE

A. AGENCY & CONTRACT RESOURCES					
	AGENCY		CONTRACT		
	NUMBER	PERCENT	NUMBER	PERCENT	
1. WORK FORCE					
a. TOTAL WORK FORCE	707				
b. PERMANENT EMPLOYEES	707				
2. COUNSELOR					
	20		0		
a. FULL-TIME	0	0.00	0	0.00	
b. PART-TIME	0	0.00	0	0.00	
c. COLLATERAL DUTY	20	100.00	0	0.00	
3. INVESTIGATOR					
	0		1		
a. FULL-TIME	0	0.00	1	100.00	
b. PART-TIME	0	0.00	0	0.00	
c. COLLATERAL DUTY	0	0.00	0	0.00	
4. COUNSELOR/INVESTIGATOR					
	0		0		
a. FULL-TIME	0	0.00	0	0.00	
b. PART-TIME	0	0.00	0	0.00	
c. COLLATERAL DUTY	0	0.00	0	0.00	

B. AGENCY & CONTRACT STAFF TRAINING

	COUNSELORS		INVESTIGATORS		COUNS/INVESTIG	
	AGENCY	CONTRACT	AGENCY	CONTRACT	AGENCY	CONTRACT
1. NEW STAFF - TOTAL	13	0	0	0	0	0
a. STAFF RECEIVING REQUIRED 32 OR MORE HOURS	13	0	0	0	0	0
b. STAFF RECEIVING 8 OR MORE HOURS, USUALLY GIVEN TO EXPERIENCED STAFF	0	0	0	0	0	0
c. STAFF RECEIVING NO TRAINING AT ALL	0	0	0	0	0	0
2. EXPERIENCED STAFF - TOTAL	7	0	0	1	0	0
a. STAFF RECEIVING REQUIRED 8 OR MORE HOURS	5	0	0	1	0	0
b. STAFF RECEIVING 32 OR MORE HOURS, GENERALLY GIVEN TO NEW STAFF	0	0	0	0	0	0
c. STAFF RECEIVING NO TRAINING AT ALL	2	0	0	0	0	0

C. REPORTING LINE

1 EEO DIRECTOR'S NAME: Lorena Carrasco			
1a.	DOES THE EEO DIRECTOR REPORT TO THE AGENCY HEAD?	YES	NO
		X	
2. IF NO, WHO DOES THE EEO DIRECTOR REPORT TO? PERSON:			
TITLE:			
3. WHO IS RESPONSIBLE FOR THE DAY-TO-DAY OPERATION OF THE EEO PROGRAM IN YOUR DEPARTMENT/AGENCY/ORGANIZATION? PERSON: Lorena Carrasco			
TITLE: Director			
4. WHO DOES THAT PERSON REPORT TO? PERSON: Gary Gensler			
TITLE: Chairman			

ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS

(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)

AGENCY OR DEPARTMENT: Commodity Futures Trading Commission

REPORTING PERIOD: FY 2012

PART IV - BASES AND ISSUES ALLEGED IN COMPLAINTS FILED (Part 1)

ISSUES OF ALLEGED DISCRIMINATION	BASES OF ALLEGED DISCRIMINATION											
	RACE						COLOR	RELIGION	REPRISAL	TOTAL ALL BASES BY ISSUE	TOTAL ALL COMPLAINTS BY ISSUE	TOTAL ALL COMPLAINANTS BY ISSUE
	AMER. INDIAN/ ALASKA NATIVE	ASIAN	NATIVE HAWAIIAN /OTHER PACIFIC ISLANDER	BLACK/ AFRICAN AMERICAN	WHITE	TWO OR MORE RACES						
A. APPOINTMENT/HIRE	0	0	0	0	0	0	0	0	0	0	0	0
B. ASSIGNMENT OF DUTIES	0	0	0	0	0	0	0	0	0	0	0	0
C. AWARDS	0	0	0	0	0	0	0	0	0	0	0	0
D. CONVERSION TO FULL TIME	0	0	0	0	0	0	0	0	0	0	0	0
E. DISCIPLINARY ACTION	0	0	0	0	0	0	0	0	0	0	0	0
1. DEMOTION	0	0	0	0	0	0	0	0	0	0	0	0
2. REPRIMAND	0	0	0	0	0	0	0	0	0	0	0	0
3. SUSPENSION	0	0	0	0	0	0	0	0	0	0	0	0
4. REMOVAL	0	0	0	0	0	0	0	0	0	0	0	0
5.												
6.												
7.												
F. DUTY HOURS	0	0	0	0	0	0	0	0	0	0	0	0
G. EVALUATION/APPRaisal	0	0	0	0	0	1	1	0	1	5	1	1
H. EXAMINATION/TEST	0	0	0	0	0	0	0	0	0	0	0	0
I. HARASSMENT	0	0	0	0	0	0	0	0	0	0	0	0
1. NON-SEXUAL	0	0	0	0	0	0	0	0	0	0	0	0
2. SEXUAL									0	0	0	0
J. MEDICAL EXAMINATION	0	0	0	0	0	0	0	0	0	0	0	0
K. PAY INCLUDING OVERTIME	0	0	0	0	0	0	0	0	0	0	0	0
L. PROMOTION/NON-SELECTION	0	0	0	0	0	0	0	0	1	3	1	1
M. REASSIGNMENT	0	0	0	0	0	0	0	0	0	0	0	0
1. DENIED	0	0	0	0	0	0	0	0	0	0	0	0
2. DIRECTED	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL ALL ISSUES BY BASES	0	0	0	0	0	2	2	0	3			
TOTAL ALL COMPLAINTS FILED BY BASES	0	0	0	0	0	1	1	0	1			
TOTAL ALL COMPLAINANTS BY BASES	0	0	0	0	0	1	1	0	1			

ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS

(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)

AGENCY OR DEPARTMENT: Commodity Futures Trading Commission

REPORTING PERIOD: FY 2012

PART IV - BASES AND ISSUES ALLEGED IN COMPLAINTS FILED (Part 1)

ISSUES OF ALLEGED DISCRIMINATION	BASES OF ALLEGED DISCRIMINATION									TOTAL ALL BASES BY ISSUE	TOTAL ALL COMPLAINTS BY ISSUE	TOTAL ALL COMPLAINANTS BY ISSUE
	RACE						COLOR	RELIGION	REPRISAL			
	AMER. INDIAN/ ALASKA NATIVE	ASIAN	NATIVE HAWAIIAN /OTHER PACIFIC ISLANDER	BLACK/ AFRICAN AMERICAN	WHITE	TWO OR MORE RACES						
N. REASONABLE ACCOMMODATION								0	1			
O. REINSTATEMENT	0	0	0	0	0	1	1	0	0	2	1	1
P. RETIREMENT	0	0	0	0	0	0	0	0	0	0	0	0
Q. TERMINATION	0	0	0	0	0	0	0	0	0	0	0	0
R. TERMS/CONDITIONS OF EMPLOYMENT	0	0	0	0	0	0	0	0	0	0	0	0
S. TIME AND ATTENDANCE	0	0	0	0	0	0	0	0	0	0	0	0
T. TRAINING	0	0	0	0	0	0	0	0	0	0	0	0
U. OTHER (Please specify below)												
1.												
2.												
3.												
4.												
5.												
TOTAL ALL ISSUES BY BASES	0	0	0	0	0	2	2	0	3			
TOTAL ALL COMPLAINTS FILED BY BASES	0	0	0	0	0	1	1	0	1			
TOTAL ALL COMPLAINANTS BY BASES	0	0	0	0	0	1	1	0	1			

ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS

(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)

AGENCY OR DEPARTMENT: Commodity Futures Trading Commission

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PART IV - BASES AND ISSUES ALLEGED IN COMPLAINTS FILED (Part 2)

ISSUES OF ALLEGED DISCRIMINATION	BASES OF ALLEGED DISCRIMINATION													
	SEX		PREGNANCY DISCRIMINATION ACT	NATIONAL ORIGIN		EQUAL PAY ACT		AGE	DISABILITY		GINA	TOTAL ALL BASES BY ISSUE	TOTAL ALL COMPLAINTS BY ISSUE	TOTAL ALL COMPLAINANTS BY ISSUE
	MALE	FEMALE		HISPANIC/ LATINO	OTHER	MALE	FEMALE		MENTAL	PHYSICAL				
A. APPOINTMENT/HIRE	0	0	0	0	0			0	0	0	0	0	0	0
B. ASSIGNMENT OF DUTIES	0	0	0	0	0			0	0	0	0	0	0	0
C. AWARDS	0	0	0	0	0			0	0	0	0	0	0	0
D. CONVERSION TO FULL TIME	0	0	0	0	0			0	0	0	0	0	0	0
E. DISCIPLINARY ACTION	0	0	0	0	0			0	0	0	0	0	0	0
1. DEMOTION	0	0	0	0	0			0	0	0	0	0	0	0
2. REPRIMAND	0	0	0	0	0			0	0	0	0	0	0	0
3. SUSPENSION	0	0	0	0	0			0	0	0	0	0	0	0
4. REMOVAL	0	0	0	0	0			0	0	0	0	0	0	0
5.														
6.														
7.														
F. DUTY HOURS	0	0	0	0	0			0	0	0	0	0	0	0
G. EVALUATION/APPRaisal	0	0	0	0	1			0	1	0	0	5	1	1
H. EXAMINATION/TEST	0	0	0	0	0			0	0	0	0	0	0	0
I. HARASSMENT	0	0	0	0	0			0	0	0	0	0	0	0
1. NON-SEXUAL	0	0	0	0	0			0	0	0	0	0	0	0
2. SEXUAL	0	0	0									0	0	0
J. MEDICAL EXAMINATION	0	0	0	0	0					0	0	0	0	0
K. PAY INCLUDING OVERTIME	0	0	0	0	0	0	0			0	0	0	0	0
L. PROMOTION/NON-SELECTION	0	1	0	0	0	1	0			0	0	3	1	1
M. REASSIGNMENT	0	0	0	0	0	0	0			0	0	0	0	0
1. DENIED	0	0	0	0	0	0	0			0	0	0	0	0
2. DIRECTED	0	0	0	0	0	0	0			0	0	0	0	0
TOTAL ALL ISSUES BY BASES	0	1	0	0	1	0	0			1	2	0	0	
TOTAL ALL COMPLAINTS FILED BY BASES	0	1	0	0	1	0	0	1	1	0	0			
TOTAL ALL COMPLAINANTS BY BASES	0	1	0	0	1	0	0	1	1	0	0			

ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS

(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)

AGENCY OR DEPARTMENT: Commodity Futures Trading Commission

REPORTING PERIOD: FY 2012

PART IV - BASES AND ISSUES ALLEGED IN COMPLAINTS FILED (Part 2)

ISSUES OF ALLEGED DISCRIMINATION	BASES OF ALLEGED DISCRIMINATION											TOTAL ALL BASES BY ISSUE	TOTAL ALL COMPLAINTS BY ISSUE	TOTAL ALL COMPLAINANTS BY ISSUE
	SEX		PREGNANCY DISCRIMINATION ACT	NATIONAL ORIGIN		EQUAL PAY ACT		AGE	DISABILITY		GINA			
	MALE	FEMALE		HISPANIC/ LATINO	OTHER	MALE	FEMALE		MENTAL	PHYSICAL				
N. REASONABLE ACCOMMODATION									1	0	0	2	1	1
O. REINSTATEMENT	0	0	0	0	0			0	0	0	0	2	1	1
P. RETIREMENT	0	0	0	0	0			0	0	0	0	0	0	0
Q. TERMINATION	0	0	0	0	0			0	0	0	0	0	0	0
R. TERMS/CONDITIONS OF EMPLOYMENT	0	0	0	0	0			0	0	0	0	0	0	0
S. TIME AND ATTENDANCE	0	0	0	0	0			0	0	0	0	0	0	0
T. TRAINING	0	0	0	0	0			0	0	0	0	0	0	0
U. OTHER (Please specify below)														
1.														
2.														
3.														
4.														
5.														
TOTAL ALL ISSUES BY BASES	0	1	0	0	1	0	0	1	2	0	0			
TOTAL ALL COMPLAINTS FILED BY BASES	0	1	0	0	1	0	0	1	1	0	0			
TOTAL ALL COMPLAINANTS BY BASES	0	1	0	0	1	0	0	1	1	0	0			

**ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY
STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS
(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)**

AGENCY OR DEPARTMENT: Commodity Futures Trading Commission

REPORTING PERIOD: FY 2012

PART IVA - BASES OF DISCRIMINATION IN FINDINGS AND ALLEGED IN SETTLEMENTS

FINDINGS/ALLEGATIONS IN:	BASES OF DISCRIMINATION IN FINDINGS AND ALLEGED BASES IN SETTLEMENTS																			
	RACE						COLOR	RELIGION	REPRISAL	SEX		PDA	NATIONAL ORIGIN		EQUAL PAY ACT		AGE	DISABILITY		GINA
	AMER INDIAN/ ALASKA NATIVE	ASIAN	NATIVE HAWAIIAN OTHER PACIFIC ISLANDER	BLACK/AFRICAN AMERICAN	WHITE	TWO OR MORE RACES				MALE	FEMALE		HISPANIC/ LATINO	OTHER	MALE	FEMALE		MENTAL	PHYSICAL	
1. Counseling Settlement Allegations	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
1a. Number of Counselings Settled	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
1b. Number of Counselors Settled With	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
2. Complaint Settlement Allegations	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
2a. Number of Complaints Settled	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
2b. Number of Complainants Settled With	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
3. Final Agency Decision Findings	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
3a. Number FADs with Findings	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
3b. Number Complainants Issued FAD Findings	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
4. AJ Decision Findings	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
4a. Number AJ Decisions With Findings	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
5. Final Agency Order Findings Implemented	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
5a. Number of Final Orders With Findings Implemented	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
5b. # of Complainants issued FOs with Findings Implemented	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL SETTLEMENT ALLEGATIONS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL FINAL ACTION FINDINGS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

PART IVB - ISSUES OF DISCRIMINATION IN FINDINGS AND ALLEGED IN SETTLEMENTS

FINDINGS/ALLEGATIONS IN:	ISSUES OF DISCRIMINATION IN FINDINGS AND ALLEGED ISSUES IN SETTLEMENTS																									
	APPOINTMENT/ HIRE	ASSIGNMENT OF DUTIES	AWARDS	CONVERSION TO FULL-TIME	DISCIPLINARY ACTION				DUTY HOURS	EVAL/ APPRAISAL	EXAM/ TEST	HARASSMENT		MEDICAL EXAM	PAY/ OVERTIME	PROMOTION/ NON- SELECTION	REASSIGNMENT		REASONABLE ACCOM.	REIN- STATEMENT	RETIREMENT	TERMINATION	TERMS & CONDITIONS EMPLOYMENT	TIME AND ATTENDANCE	TRAINING	OTHER
					DEMOTION	REPRISAL	SUSPENSION	REMOVAL				NON-SEXUAL	SEXUAL				DENIED	DIRECTED								
1. Counseling Settlement Allegations	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
1a. Number of Counselings Settled	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
1b. Number of Counselees Settled With	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
2. Complaint Settlement Allegations	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
2a. Number of Complaints Settled	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
2b. Number of Complainants Settled With	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
3. Final Agency Decision Findings	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
3a. Number FADs with Findings	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
3b. Number Complainants Issued FAD Findings	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
4. AJ Decision Findings	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
4a. Number AJ Decisions With Findings	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
5. Final Agency Order Findings Implemented	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
5a. Number of Final Orders With Findings Implemented	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
5b. # of Complainants issued FOs with Findings Implemented	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL SETTLEMENT ALLEGATIONS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL FINAL ACTION FINDINGS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

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AGENCY OR DEPARTMENT: Commodity Futures Trading Commission **REPORTING PERIOD:** FY 2012

PART V - SUMMARY OF CLOSURES BY STATUTE

A. STATUTE (IF A SINGLE COMPLAINT HAS MULTIPLE STATUTES RECORD EACH ON THE APPROPRIATE LINE.)

2	1.	TITLE VII
0	1a.	PREGNANCY DISCRIMINATION ACT (PDA)
1	2.	AGE DISCRIMINATION IN EMPLOYMENT ACT (ADEA)
0	3.	REHABILITATION ACT
0	4.	EQUAL PAY ACT (EPA)
0	5.	GENETIC INFORMATION NONDISCRIMINATION ACT (GINA)

B. TOTAL BY STATUTES

3 THIS NUMBER MAY BE LARGER THAN THE TOTAL NUMBER OF COMPLAINTS CLOSED.
(A1+A1a+A2+A3+A4+A5)

PART VI - SUMMARY OF CLOSURES BY CATEGORY

	TOTAL NUMBER	TOTAL DAYS	AVERAGE DAYS
A. TOTAL NUMBER OF CLOSURES (1+2+3)	2	628	314.00
1. WITHDRAWALS	0	0	0.00
a. NON-ADR WITHDRAWALS	0	0	0.00
b. ADR WITHDRAWALS	0	0	0.00
2. SETTLEMENTS	0	0	0.00
a. NON-ADR SETTLEMENTS	0	0	0.00
b. ADR SETTLEMENTS	0	0	0.00
3. FINAL AGENCY ACTIONS (B+C)	2	628	314.00
B. FINAL AGENCY DECISIONS WITHOUT AN ADMINISTRATIVE JUDGE DECISION (1+2+3)	2	628	314.00
1. FINDING DISCRIMINATION	0	0	0.00
2. FINDING NO DISCRIMINATION	2	628	314.00
3. DISMISSAL OF COMPLAINTS	0	0	0.00
C. FINAL AGENCY ORDERS WITH AN ADMINISTRATIVE JUDGE (AJ) DECISION (1+2)	0	0	0.00
1. AJ DECISION FULLY IMPLEMENTED (a+b+c)	0	0	0.00
(a) FINDING DISCRIMINATION	0	0	0.00
(b) FINDING NO DISCRIMINATION	0	0	0.00
(c) DISMISSAL OF COMPLAINTS	0	0	0.00
2. AJ DECISION NOT FULLY IMPLEMENTED (a+b+c)	0	0	0.00
(a) FINDING DISCRIMINATION (i+ii+iii)	0	0	0.00
i. AGENCY APPEALED FINDING BUT NOT REMEDY	0	0	0.00
ii. AGENCY APPEALED REMEDY BUT NOT FINDING	0	0	0.00
iii. AGENCY APPEALED BOTH FINDING AND REMEDY	0	0	0.00
(b) FINDING NO DISCRIMINATION	0	0	0.00
(c) DISMISSAL OF COMPLAINTS	0	0	0.00

ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY			
STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS			
(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)			
AGENCY OR DEPARTMENT: Commodity Futures Trading Commission		REPORTING PERIOD: FY 2012	
PART VI - SUMMARY OF CLOSURES BY CATEGORY (Continued)			
	TOTAL	TOTAL	AVERAGE
	NUMBER	DAYS	DAYS
D. FINAL AGENCY MERIT DECISIONS (FAD) ISSUED (1+2+3+4)	2	137	68.50
1. COMPLAINANT REQUESTED IMMEDIATE FAD (1a+1b)	2	137	68.50
a. AGENCY ISSUED FAD WITHIN 60 DAYS OF RECEIPT OF FAD REQUEST	1	56	56.00
b. AGENCY ISSUED FAD MORE THAN 60 DAYS BEYOND RECEIPT OF FAD REQUEST	1	81	81.00
2. COMPLAINANT DID NOT ELECT HEARING OR FAD (2a+2b)	0	0	0.00
a. AGENCY ISSUED FAD WITHIN 60 DAYS OF END OF 30-DAY ELECTION PERIOD	0	0	0.00
b. AGENCY ISSUED FAD MORE THAN 60 DAYS BEYOND END OF 30-DAY ELECTION PERIOD	0	0	0.00
3. HEARING REQUESTED; AJ RETURNED CASE TO AGENCY FOR FAD WITHOUT AJ DECISION (3a+3b)	0	0	0.00
a. AGENCY ISSUED FAD WITHIN 60 DAYS OF RECEIPT OF AJ RETURNED CASE FOR FAD ISSUANCE	0	0	0.00
b. AGENCY ISSUED FAD MORE THAN 60 DAYS AFTER RECEIPT OF AJ RETURNED CASE FOR FAD ISSUANCE	0	0	0.00
4. FINAL AGENCY DECISION ISSUED ON A MIXED CASE (4a+4b)	0	0	0.00
a. AGENCY ISSUED FAD WITHIN 45 DAYS AFTER INVESTIGATION	0	0	0.00
b. AGENCY ISSUED FAD MORE THAN 45 DAYS AFTER INVESTIGATION	0	0	0.00
PART VII - SUMMARY OF FORMAL COMPLAINTS CLOSED BY TYPES OF BENEFITS			
	NUMBER	AMOUNT	
A. TOTAL COMPLAINTS CLOSED WITH BENEFITS	0		
B. TOTAL CLOSURES WITH MONETARY BENEFITS TO COMPLAINANT	0	\$ 0.00	
1. BACK PAY/FRONT PAY	0	\$ 0.00	
2. LUMP SUM PAYMENT	0	\$ 0.00	
3. COMPENSATORY DAMAGES	0	\$ 0.00	
4. ATTORNEY FEES AND COSTS	0	\$ 0.00	
D. INTENTIONALLY LEFT BLANK			
E. TOTAL CLOSURES WITH NON-MONETARY BENEFITS TO COMPLAINANT	0		
F. TYPES OF BENEFITS IN NON-MONETARY CLOSURES	NUMBER OF CLOSURES THAT RECEIVED MONETARY BENEFITS AS WELL	NUMBER OF CLOSURES THAT RECEIVED ONLY NON-MONETARY BENEFITS	
1. HIRES	0	0	
a. RETROACTIVE	0	0	
b. NON-RETROACTIVE	0	0	
2. PROMOTIONS	0	0	
a. RETROACTIVE	0	0	
b. NON-RETROACTIVE	0	0	
3. EXPUNGEMENTS	0	0	
4. REASSIGNMENTS	0	0	
5. REMOVALS RESCINDED	0	0	
a. REINSTATEMENT	0	0	
b. VOLUNTARY RESIGNATION	0	0	
6. ACCOMMODATIONS	0	0	
7. TRAINING	0	0	
8. APOLOGY	0	0	
9. DISCIPLINARY ACTIONS	0	0	
a. RESCINDED	0	0	
b. MODIFIED	0	0	
10. PERFORMANCE EVALUATION MODIFIED	0	0	
11. LEAVE RESTORED	0	0	
12.			
13.			
14.			

ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS

(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)

AGENCY OR DEPARTMENT: Commodity Futures Trading Commission **REPORTING PERIOD:** FY 2012

PART VIII - SUMMARY OF PENDING COMPLAINTS BY CATEGORY

A. TOTAL COMPLAINTS PENDING (SAME AS PART II Line I) (1+1a+2+3+4)	NUMBER PENDING	NUMBER OF DAYS	AVERAGE DAYS	NUMBER OF DAYS PENDING FOR OLDEST CASE
	2	277		
1. COMPLAINTS PENDING WRITTEN NOTIFICATION (Acknowledgement Letter)	0	0	0.00	0
1a. COMPLAINTS PENDING DECISION TO ACCEPT/DISMISS	1	1	1.00	1
2. COMPLAINTS PENDING IN INVESTIGATION	0	0	0.00	0
3. COMPLAINTS PENDING IN HEARINGS	0	0	0.00	0
4. COMPLAINTS PENDING A FINAL AGENCY ACTION	1	276	276.00	276

PART IX - SUMMARY OF INVESTIGATIONS COMPLETED

	TOTAL	TOTAL DAYS	AVERAGE
A. INVESTIGATIONS COMPLETED DURING REPORTING PERIOD (1+3)	1	110	110.00
1. INVESTIGATIONS COMPLETED BY AGENCY PERSONNEL (a+b+c)	0	0	0.00
a. INVESTIGATIONS COMPLETED IN 180 DAYS OR LESS	0	0	0.00
b. INVESTIGATIONS COMPLETED IN 181 - 360 DAYS	0	0	0.00
1. TIMELY COMPLETED INVESTIGATIONS	0	0	0.00
2. UNTIMELY COMPLETED INVESTIGATIONS	0	0	0.00
c. INVESTIGATIONS COMPLETED IN 361 OR MORE DAYS	0	0	0.00
2. AGENCY INVESTIGATION COSTS	\$ 0.00		\$ 0.00
3. INVESTIGATIONS COMPLETED BY CONTRACTORS (a+b+c)	1	110	110.00
a. INVESTIGATIONS COMPLETED IN 180 DAYS OR LESS	1	110	110.00
b. INVESTIGATIONS COMPLETED IN 181 - 360 DAYS	0	0	0.00
1. TIMELY COMPLETED INVESTIGATIONS	0	0	0.00
2. UNTIMELY COMPLETED INVESTIGATIONS	0	0	0.00
c. INVESTIGATIONS COMPLETED IN 361 OR MORE DAYS	0	0	0.00
4. CONTRACTOR INVESTIGATION COSTS	\$ 6,750.00		\$ 6750.00

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AGENCY OR DEPARTMENT: **Commodity Futures Trading Commission** REPORTING PERIOD: **FY 2012**

PART X - SUMMARY OF ADR PROGRAM ACTIVITIES

INFORMAL PHASE (PRE-COMPLAINT)

A. INTENTIONALLY LEFT BLANK				
B. ADR ACTIONS IN COMPLETED/ENDED COUNSELINGS		COUNSELINGS	INDIVIDUALS	
1.	ADR OFFERED BY AGENCY	1	1	
2.	REJECTED BY INDIVIDUAL (COUNSELEE)	1	1	
3.	INTENTIONALLY LEFT BLANK			
4.	TOTAL ACCEPTED INTO ADR PROGRAM	0	0	
C. ADR RESOURCES USED IN COMPLETED/ENDED COUNSELINGS (TOTALS)		0	0	
1.	INHOUSE	0	0	
2.	ANOTHER FEDERAL AGENCY	0	0	
3.	PRIVATE ORGANIZATIONS, (e.g., CONTRACTORS, BAR ASSOCIATIONS, INDIVIDUAL VOLUNTEERS OR COLLEGE/UNIVERSITY PERSONNEL)	0	0	
4.	MULTIPLE RESOURCES USED (Please specify in a comment box)	0	0	
5.	FEDERAL EXECUTIVE BOARD	0	0	
6.				
7.				
		COUNSELINGS	INDIVIDUALS	DAYS
D. ADR TECHNIQUES USED IN COMPLETED/ENDED COUNSELINGS (TOTALS)		0	0	0
1.	MEDIATION	0	0	0.00
2.	SETTLEMENT CONFERENCES		0	0
3.	EARLY NEUTRAL EVALUATIONS	0	0	0.00
4.	FACTFINDING	0	0	0.00
5.	FACILITATION	0	0	0.00
6.	OMBUDSMAN	0	0	0.00
7.	PEER REVIEW	0	0	0.00
8.	MULTIPLE TECHNIQUES USED (Please specify in a comment box)	0	0	0.00
9.				
10.				
11.				
E. STATUS OF ADR CASES IN COMPLETED/ENDED COUNSELINGS		COUNSELINGS	INDIVIDUALS	DAYS
1.	TOTAL CLOSED	0	0	0
a.	SETTLEMENTS WITH BENEFITS (Monetary and Non-monetary)	0	0	0.00
b.	NO FORMAL COMPLAINT FILED	0	0	0.00
c.	COMPLAINT FILED			
i.	NO RESOLUTION	0	0	0.00
ii.	NO ADR ATTEMPT (aka Part X.E.1.d)	0	0	0.00
e.	DECISION TO FILE COMPLAINT PENDING AT THE END OF THE REPORTING PERIOD	0	0	0.00
2.	INTENTIONALLY LEFT BLANK			

ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY STATISTICAL REPORT OF DISCRIMINATION COMPLAINTS

(REPORTING PERIOD BEGINS OCTOBER 1ST AND ENDS SEPTEMBER 30TH)

AGENCY OR DEPARTMENT: Commodity Futures Trading Commission

REPORTING PERIOD: FY 2012

PART XI - SUMMARY OF ADR PROGRAM ACTIVITIES

FORMAL PHASE (COMPLAINT FILED)

B. ADR ACTIONS IN COMPLAINT CLOSURES	COMPLAINTS	COMPLAINANTS		
1. ADR OFFERED BY AGENCY	0	0		
2. REJECTED BY COMPLAINANT	0	0		
3. INTENTIONALLY LEFT BLANK				
4. TOTAL ACCEPTED INTO ADR PROGRAM	0	0		
C. ADR RESOURCES USED IN COMPLAINT CLOSURES (TOTALS)	0	0		
1. INHOUSE	0	0		
2. ANOTHER FEDERAL AGENCY	0	0		
3. PRIVATE ORGANIZATIONS, (e.g., CONTRACTORS, BAR ASSOCIATIONS, INDIVIDUAL VOLUNTEERS OR COLLEGE/UNIVERSITY PERSONNEL)	0	0		
4. MULTIPLE RESOURCES USED (Please specify in a comment box)	0	0		
5. FEDERAL EXECUTIVE BOARD	0	0		
6.				
7.				
	COMPLAINTS	COMPLAINANTS	DAYS	AVERAGE DAYS
D. ADR TECHNIQUES USED IN COMPLAINT CLOSURES (TOTALS)	0	0	0	0.00
1. MEDIATION	0	0	0	0.00
2. SETTLEMENT CONFERENCES	0	0	0	0.00
3. EARLY NEUTRAL EVALUATIONS	0	0	0	0.00
4. FACTFINDING	0	0	0	0.00
5. FACILITATION	0	0	0	0.00
6. OMBUDSMAN	0	0	0	0.00
7. MINI-TRIALS	0	0	0	0.00
8. PEER REVIEW	0	0	0	0.00
9. MULTIPLE TECHNIQUES USED (Please specify in a comment box)	0	0	0	0.00
10.				
11.				
12.				
E. STATUS OF CASES IN COMPLAINT CLOSURES	COMPLAINTS	COMPLAINANTS	DAYS	AVERAGE DAYS
1. TOTAL CLOSED	0	0	0	0.00
a. SETTLEMENTS WITH BENEFITS (Monetary and Non-monetary)	0	0	0	0.00
b. WITHDRAWAL FROM EEO PROCESS	0	0	0	0.00
c. NO RESOLUTION	0	0	0	0.00
d. NO ADR ATTEMPT	0	0	0	0.00
2. INTENTIONALLY LEFT BLANK				
F. BENEFITS RECEIVED	COMPLAINTS	COMPLAINANTS	AMOUNT	
1. MONETARY (INSERT TOTALS)	0	0	\$	0.00
a. COMPENSATORY DAMAGES	0	0	\$	0.00
b. BACKPAY/FRONTPAY	0	0	\$	0.00
c. LUMP SUM	0	0	\$	0.00
d. ATTORNEY FEES AND COSTS	0	0	\$	0.00
e.			\$	
f.			\$	
g.			\$	
2. NON-MONETARY (INSERT TOTALS)	0	0		
a. HIRES	0	0		
i. RETROACTIVE	0	0		
ii. NON-RETROACTIVE	0	0		
b. PROMOTIONS	0	0		
i. RETROACTIVE	0	0		
ii. NON-RETROACTIVE	0	0		
c. EXPUNGEMENTS	0	0		
d. REASSIGNMENTS	0	0		
e. REMOVALS RESCINDED	0	0		
i. REINSTATEMENT	0	0		
ii. VOLUNTARY RESIGNATION	0	0		
f. ACCOMMODATIONS	0	0		
g. TRAINING	0	0		
h. APOLOGY	0	0		
i. DISCIPLINARY ACTIONS	0	0		
i. RESCINDED	0	0		
ii. MODIFIED	0	0		
j. PERFORMANCE EVALUATION MODIFIED	0	0		
k. LEAVE RESTORED	0	0		
l.				
m.				

**ANNUAL FEDERAL EQUAL EMPLOYMENT OPPORTUNITY
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AGENCY OR DEPARTMENT: Commodity Futures Trading Commission **REPORTING PERIOD:** FY 2012

PART XII - SUMMARY OF EEO ADR PROGRAM ACTIVITIES

EEO ADR RESOURCES

A. NO LONGER COLLECTED			
B. EMPLOYEES THAT CAN PARTICIPATE IN EEO ADR	707		
C. RESOURCES THAT MANAGE EEO ADR PROGRAM (DOES NOT INCLUDE NEUTRALS AS REPORTED IN PARTS X. & XI.)			
1. IN-HOUSE FULL TIME (40 HOURS EEO ADR ONLY)	1		
2. IN-HOUSE PART TIME (32 HOURS EEO ADR ONLY)	0		
3. IN-HOUSE COLLATERAL DUTY (OTHERS/NON-CONTRACT)	0		
4. IN-HOUSE COLLATERAL DUTY (OTHERS/NON-CONTRACT)	1		
4. CONTRACT (ANOTHER FEDERAL AGENCY/PRIVATE ORGANIZATIONS)	0		
	AMOUNT		
D. EEO ADR FUNDING SPENT	\$ 0.00		

E. EEO ADR CONTACT INFORMATION

1. NAME OF EEO ADR PROGRAM DIRECTOR / MANAGER Tony Smith

2. TITLE ISN Program Manager

3. TELEPHONE NUMBER 202-565-0161 4. EMAIL Tony.Smith@HHS.gov

F. EEO ADR PROGRAM INFORMATION

	YES	NO
1. Does the agency require the alleged responsible management official to participate in EEO ADR?	X	
1a. If yes, is there a written policy requiring the participation?		X
2. Does the alleged responsible management official have a role in deciding if the case is appropriate for EEO ADR?	X	

CERTIFICATION AND CONTACT INFORMATION

I certify that the EEO complaint data contained in this report, EEOC Form 462, Annual Federal Equal Employment Opportunity Statistical Report of Discrimination Complaints, for the reporting period October 1, 2011 through September 30, 2012, is accurate and complete.

NAME AND TITLE OF CERTIFYING OFFICIAL: Lorena O Carrasco, Director, Diversity and Inclusion

SIGNATURE OF CERTIFYING OFFICIAL: (Enter PIN here to serve as your electronic signature) 5083

DATE: 12/6/2012 **TELEPHONE NUMBER:** 202-418-5935 **E-MAIL:** lcarrasco@cftc.gov

NAME AND TITLE OF PREPARER: Lorena O Carrasco, Director, Diversity and Inclusion

DATE: 12/6/2012 **TELEPHONE NUMBER:** 202-418-5935 **E-MAIL:** lcarrasco@cftc.gov

The FY 2012 report (with the PIN entered) is due on or before October 31, 2012.

Appendix A - Comments

AGENCY: Commodity Futures Trading Commission - YEAR: 2012

Part 1

CFTC - I.D.1 Counselings - Part 1 Section D Line 1: Filed at the end of the period.

Part 3

CFTC - III.B.1 Coun/Agency - Judy Slowly and Harold Hill were on travel at the time of training. Therefore, they were unable to attend. They will be scheduled for the 8 hour training in FY 13.

Part 10

CFTC - X.C Counselings - This Agency uses Shared Neutral for ADR.

Part 12

CFTC - XII.B Employees participate in ADR - Mr. Smith works for another Federal Agency. He is not a contracted person. He is a collateral duty resource.

A TABLES
Workforce Distributions by Race, National Origin, and Sex

Table A1: TOTAL WORKFORCE - Distribution by Race/Ethnicity and Sex

[illegible]

Table A2: TOTAL WORKFORCE BY COMPONENT - Distribution by Race/Ethnicity and Sex

Employment Tenure		TOTAL EMPLOYEES			RACE/ETHNICITY													
					Non- Hispanic or Latino													
					Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
		All	male	female														
TOTAL FY	#	680	388	292	20	8	310	179	33	78	25	25	0	0	0	0	0	2
	%	0	0.570588	0.429412	0.029412	0.011765	0.455882	0.263235	0.0485294	0.1147059	0.036765	0.0367647	0	0	0	0	0	0.002941
CLF 2000	%	100.00	53.20	46.80	6.20	4.50	39.00	33.70	4.80	5.70	1.90	1.70	0.10	0.10	0.30	0.30	0.80	0.80
OFFICE OF THE CHAIRMAN	#	12	8	4	0	0	6	1	2	3	0	0	0	0	0	0	0	0
	%	0	0.666667	0.333333	0	0	0.5	0.083333	0.1666667	0.25	0	0	0	0	0	0	0	0
COMMISSIONER S OFFICES	#	9	7	2	0	0	6	2	0	0	1	0	0	0	0	0	0	0
	%	0	0.777778	0.222222	0	0	0.666667	0.222222	0	0	0.111111	0	0	0	0	0	0	0
DIVISION OF CLEARING AND RISK	#	59	34	25	2	3	27	16	2	5	3	1	0	0	0	0	0	0
	%	0	0.576271	0.423729	0.033898	0.050847	0.457627	0.271186	0.0338983	0.0847458	0.050847	0.0169492	0	0	0	0	0	0
DIVISION OF ENFORCEMENT	#	167	97	70	2	0	88	59	3	6	4	5	0	0	0	0	0	0
	%	0	0.580838	0.419162	0.011976	0	0.526946	0.353293	0.0179641	0.0359281	0.023952	0.0299401	0	0	0	0	0	0
DIVISION OF MARKET OVERSIGHT	#	124	81	43	1	0	75	29	2	10	3	4	0	0	0	0	0	0
	%	0	0.653226	0.346774	0.008065	0	0.604839	0.233871	0.016129	0.0806452	0.024194	0.0322581	0	0	0	0	0	0
OFFICE OF GENERAL COUNSEL	#	53	23	30	1	0	13	18	5	8	4	4	0	0	0	0	0	0
	%	0	0.433962	0.566038	0.018868	0	0.245283	0.339623	0.0943396	0.1509434	0.075472	0.0754717	0	0	0	0	0	0
OFFICE OF THE EXECUTIVE DIRECTOR	#	83	33	50	5	3	21	22	6	22	1	2	0	0	0	0	0	1
	%	0	0.39759	0.60241	0.060241	0.036145	0.253012	0.26506	0.0722892	0.2650602	0.012048	0.0240964	0	0	0	0	0	0.012048
OFFICE OF THE CHIEF ECONOMIST	#	7	6	1	1	0	5	1	0	0	0	0	0	0	0	0	0	0
	%	0	0.857143	0.142857	0.142857	0	0.714286	0.142857	0	0	0	0	0	0	0	0	0	0
OFFICE OF INTERNATIONAL AFFAIRS	#	10	5	5	1	0	4	3	0	1	0	1	0	0	0	0	0	0
	%	0	0.5	0.5	0.1	0	0.4	0.3	0	0.1	0	0.1	0	0	0	0	0	0
DIV OF SWAP DEALER & INTERM OVERS	#	71	39	32	3	2	31	16	4	9	1	5	0	0	0	0	0	0
	%	0	0.549296	0.450704	0.042254	0.028169	0.43662	0.225352	0.056338	0.1267606	0.014085	0.0704225	0	0	0	0	0	0
OFFICE OF DATA AND TECHNOLOGY	#	85	55	30	4	0	34	12	9	14	8	3	0	0	0	0	0	1
	%	0	0.647059	0.352941	0.047059	0	0.4	0.141176	0.1058824	0.1647059	0.094118	0.0352941	0	0	0	0	0	0.011765

Table A3-1: OCCUPATIONAL CATEGORIES - Distribution by Race/Ethnicity and Sex

Occupational Categories	TOTAL EMPLOYEES			RACE/ETHNICITY														
				Hispanic or Latino		Non- Hispanic or Latino												
						White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races		
	All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male
1. Officials and Managers																		
Executive/Senior Level (Grades 15 and Above)	#	118	83	35	3	2	72	31	5	2	3	0	0	0	0	0	0	0
	%	0	0.70339	0.29661	0.02542	0.016949	0.610169	0.262712	0.04237	0.016949	0.02542	0	0	0	0	0	0	0
Mid-level (Grades 13-14)	#	31	17	14	0	1	14	9	1	4	2	0	0	0	0	0	0	0
	%	0	0.548387	0.451613	0	0.032258	0.451613	0.290323	0.03226	0.129032	0.06452	0	0	0	0	0	0	0
First-Level (Grades 12 and Below)	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Other	#	141	75	66	8	2	55	35	9	24	3	3	0	0	0	0	0	0
	%	0	0.531915	0.468085	0.05674	0.014184	0.390071	0.248227	0.06383	0.170213	0.02128	0.02128	0	0	0	0	0	0
Officials and Managers - TOTAL	#	290	175	115	11	5	141	75	15	30	8	3	0	0	0	0	0	0
	%	0	0.603448	0.396552	0.03793	0.017241	0.486207	0.258621	0.05172	0.103448	0.02759	0.01034	0	0	0	0	0	0
2. Professionals	#	350	206	144	9	2	166	100	14	20	17	22	0	0	0	0	0	0
	%	0	0.588571	0.411429	0.02571	0.005714	0.474286	0.285714	0.04	0.057143	0.04857	0.06286	0	0	0	0	0	0
3. Technicians	#	4	2	2	0	0	0	0	2	2	0	0	0	0	0	0	0	0
	%	0	0.5	0.5	0	0	0	0	0.5	0.5	0	0	0	0	0	0	0	0
4. Sales Workers	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
5. Administrative Support Workers	#	29	3	26	0	1	1	3	2	22	0	0	0	0	0	0	0	0
	%	0	0.103448	0.896552	0	0.034483	0.034483	0.103448	0.06897	0.758621	0	0	0	0	0	0	0	0
6. Craft Workers	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
7. Operatives	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
8. Laborers and Helpers	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
9. Service Workers	#	4	0	4	0	0	0	0	0	4	0	0	0	0	0	0	0	0
	%	0	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0

[illegible]

Table A4 - Participation Rates For CFTC Grades (Permanent) - Distribution by Race/Ethnicity and Sex

Grade Level	All Employees	All Males	All Females	Hispanic or Latino Males	Hispanic or Latino Females	White Males	White Females	Black or African American Males
CT-1 (#)	0	0	0	0	0	0	0	0
CT-2 (#)	0	0	0	0	0	0	0	0
CT-3 (#)	0	0	0	0	0	0	0	0
CT-4 (#)	0	0	0	0	0	0	0	0
CT-5 (#)	0	0	0	0	0	0	0	0
CT-6 (#)	1	0	1	0	0	0	0	0
CT-7 (#)	8	1	7	0	1	0	1	1
CT-8 (#)	9	0	9	0	0	0	1	0
CT-9 (#)	15	6	9	1	1	4	2	1
CT-10 (#)	3	0	3	0	0	0	0	0
CT-11 (#)	25	9	16	1	1	6	5	2
CT-12 (#)	46	27	19	2	0	20	7	2
CT-13 (#)	177	98	79	2	1	81	41	11
CT-14 (#)	232	138	94	7	2	109	74	9
CT-15 (#)	124	81	43	7	2	65	36	6
All Other (Unspecified CT) (#)	35	24	11	0	0	21	11	1
SES (#)	0	0	0	0	0	0	0	0
Other Senior Pay (Non-SES) (#)	5	4	1	0	0	4	1	0

Total CT Workforce (Permanent) (#)	680	388	292	20	8	310	179	33
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[illegible]

78	25	25	0	0	0	0	0	0	2
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Table A4 (Temporary) - Participation Rates For CFTC Grades (Temporary) - Distribution by Race/Ethnicity

Grade Level	All Employees	All Males	All Females	Hispanic or Latino Males	Hispanic or Latino Females	White Males	White Females	Black or African American Males
CT-1 (#)	0	0	0	0	0	0	0	0
CT-2 (#)	0	0	0	0	0	0	0	0
CT-3 (#)	0	0	0	0	0	0	0	0
CT-4 (#)	0	0	0	0	0	0	0	0
CT-5 (#)	0	0	0	0	0	0	0	0
CT-6 (#)	0	0	0	0	0	0	0	0
CT-7 (#)	0	0	0	0	0	0	0	0
CT-8 (#)	0	0	0	0	0	0	0	0
CT-9 (#)	0	0	0	0	0	0	0	0
CT-10 (#)	0	0	0	0	0	0	0	0
CT-11 (#)	0	0	0	0	0	0	0	0
CT-12 (#)	1	0	1	0	0	0	0	0
CT-13 (#)	2	2	0	0	0	1	0	0
CT-14 (#)	1	0	1	0	0	0	1	0
CT-15 (#)	1	1	0	0	0	1	0	0
All Other (Unspecified CT) (#)	4	4	0	0	0	3	0	1
SES (#)	5	3	2	1	0	1	2	1
Other Senior Pay (Non-SES) (#)	0	0	0	0	0	0	0	0

Total CT Workforce (Temporary) (#)	14	10	4	1	0	6	3	2
---	----	----	---	---	---	---	---	---

and Sex

[illegible]

0	1	1	0	0	0	0	0	0	0
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Table A5-1: PARTICIPATION RATES FOR WAGE GRADES by Race/Ethnicity and Sex

[illegible]

[illegible]

Table A6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS - Distribution by Race/Ethnicity and Sex

[illegible]

[illegible]

[illegible]

Table A8: NEW HIRES BY TYPE OF APPOINTMENT - Distribution by Race/Ethnicity and Sex

Employment Tenure		TOTAL WORKFORCE			RACE/ETHNICITY												
					Non- Hispanic or Latino												
					Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races
		All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male
Permanent	#	89	48	41	4	2	35	24	5	6	4	7	0	0	0	0	0
	%	0	0.539326	0.460674	0.044944	0.02247	0.39326	0.269663	0.05618	0.067416	0.044944	0.07865	0	0	0	0	0
Temporary	#	9	5	4	1	1	3	2	0	0	1	1	0	0	0	0	0
	%	0	0.555556	0.444444	0.111111	0.11111	0.33333	0.222222	0	0	0.111111	0.11111	0	0	0	0	0
NON- Appropriated	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL	#	98	53	45	5	3	38	26	5	6	5	8	0	0	0	0	0
	%	0	0.540816	0.459184	0.05102	0.03061	0.38776	0.265306	0.05102	0.061224	0.05102	0.08163	0	0	0	0	0
CLF	%	100%	53.20%	46.80%	6.20%	4.50%	39.00%	33.70%	4.80%	5.70%	1.90%	1.70%	0.10%	0.10%	0.30%	0.30%	0.80%

more	female	2	0.02247	0	0	0	0	2	0.02041	0.80%
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Table A9: SELECTIONS FOR INTERNAL COMPETITIVE PROMOTIONS FOR MAJOR OCCUPATIONS by Race/Ethnicity and Sex

[illegible]

[illegible][illegible][illegible][illegible][illegible][illegible]

r more
ses
female
0
0
0
0
0
0
0
0

Table A11: INTERNAL SELECTIONS FOR SENIOR LEVEL POSITIONS (GS 13/14, GS 15, AND SES) by Race/Ethnicity and Sex

Employment Tenure		TOTAL WORKFORCE			RACE/ETHNICITY													
					Non- Hispanic or Latino													
					Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
		All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female
Plan - Grade: GS-13																		
Total Applications Received	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Qualified	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Selected	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Relevant Applicant Pool	%																	
Plan - Grade: GS-14																		
Total Applications Received	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Qualified	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Selected	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Relevant Applicant Pool	%																	
Plan - Grade: GS-15																		
Total Applications Received	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Qualified	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Selected	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Relevant Applicant Pool	%																	
Plan - Grade: SES																		
Total Applications Received	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Qualified	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Selected	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Relevant Applicant Pool	%																	

"Relevant Applicant Pool" = all employees in the next lower pay grade and in all series that qualify them for the position announced.

Table A12: PARTICIPATION IN CAREER DEVELOPMENT - Distribution by Race/Ethnicity and Sex

Employment Tenure	TOTAL WORKFORCE			RACE/ETHNICITY														
				Non- Hispanic or Latino														
				Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more		
	All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male

Career Development Programs for GS 5 - 12

Slots	#																	
Relevant Pool	%																	
Applied	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Participants	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Career Development Programs for GS 13 - 14

Slots	#																	
Relevant Pool	%																	
Applied	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Participants	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Career Development Programs for GS 15 and SES

Slots	#																	
Relevant Pool	%																	
Applied	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Participants	#																	
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

"Relevant Pool" includes all employees in pay grades eligible for the career development program.

more races
female
0
0
0
0
0
0

[illegible]

Table A14: SEPARATIONS BY TYPE OF SEPARATION - Distribution by Race/Ethnicity and Sex

Employment Tenure		TOTAL WORKFORCE			RACE/ETHNICITY													
					Non- Hispanic or Latino													
					Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
		All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female
Voluntary	#	53	29	24	0	1	22	13	3	8	4	2	0	0	0	0	0	0
	%	0	0.54717	0.45283	0	0.018868	0.415094	0.245283	0.056604	0.150943	0.075472	0.037736	0	0	0	0	0	0
Involuntary	#	1	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0
	%	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0
Total Separations	#	54	30	24	0	1	23	13	3	8	4	2	0	0	0	0	0	0
	%	0	0.555556	0.444444	0	0.018519	0.425926	0.240741	0.055556	0.148148	0.074074	0.037037	0	0	0	0	0	0
Total Workforce	#	707	408	299	21	8	326	182	35	80	26	26	0	0	0	0	0	3
	%	0	0.577086	0.422914	0.029703	0.011315	0.461103	0.257426	0.049505	0.113154	0.036775	0.036775	0	0	0	0	0	0.004243

B TABLES
Workforce Distributions by Disability and Targeted Disability

Table B1: TOTAL WORKFORCE - Distribution by Disability [OPM Form 256 Self-Identification Codes]

Employment Tenure	TOTAL	Total by Disability Status				Detail for Targeted Disabilities									
		No Disability [05]	Not Identified [01]	Disability[06-94]	Targeted Disability	Hearing [16/17 or 18]	Vision [23/25 or 21]	Missing Extremities[28, 32-38 or 30]	Partial Paralysis [64-68 or 69]	Complete Paralysis [71-78 or 79]	Epilepsy [82]	Severe Intellectual Disability [90]	Psychiatric Disability [91]	Dwarfism [92]	
TOTAL															
Prior FY	#	665	633	17	15	1	0	1	0	0	0	0	0	0	0
	%	0	0.95188	0.0255639	0.022556	0.001504	0	0.0015038	0	0	0	0	0	0	0
Current FY	#	707	666	17	24	1	0	1	0	0	0	0	0	0	0
	%	0	0.942008	0.0240453	0.033946	0.001414	0	0.0014144	0	0	0	0	0	0	0
Difference	#	42	33	0	9	0	0	0	0	0	0	0	0	0	0
Ratio Change	%	0.00	-0.01	0.00	0.01	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Net Change	%	6.32	5.21	0.00	60.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Federal Goal	%					2.00									

PERMANENT

[illegible]

TEMPORARY

[illegible]

NON-APPROPRIATED

[illegible]

[illegible]

Table B2: TOTAL WORKFORCE BY COMPONENT - Distribution by Disability [OPM Form 256 Self-Identification Codes]

[illegible]

[illegible]

[illegible][illegible]

[illegible]

Table B4 - Participation Rates For CFTC Grades (Permanent) - Distribution by Disability

Grade Level	All Employees	No Disability [05]	Not Identified [01]	Disability [06-94]	Targeted Disability	Hearing [16/17 or 18]	Vision [23/25 or 21]	Missing Extremities [28, 32-38 or 30]
CT-1 (#)	0	0	0	0	0	0	0	0
CT-2 (#)	0	0	0	0	0	0	0	0
CT-3 (#)	0	0	0	0	0	0	0	0
CT-4 (#)	0	0	0	0	0	0	0	0
CT-5 (#)	0	0	0	0	0	0	0	0
CT-6 (#)	1	1	0	0	0	0	0	0
CT-7 (#)	8	7	1	0	0	0	0	0
CT-8 (#)	9	9	0	0	0	0	0	0
CT-9 (#)	15	15	0	0	0	0	0	0
CT-10 (#)	3	3	0	0	0	0	0	0
CT-11 (#)	25	24	0	1	0	0	0	0
CT-12 (#)	46	39	2	5	0	0	0	0
CT-13 (#)	177	165	6	6	0	0	0	0
CT-14 (#)	232	221	2	9	0	0	0	0
CT-15 (#)	124	119	4	1	1	0	1	0
All Other (Unspecified CT) (#)	35	33	1	1	0	0	0	0
SES (#)	0	0	0	0	0	0	0	0
Other Senior Pay (Non-SES) (#)	5	5	0	0	0	0	0	0

Total CT Workforce (Permanent) (#)	680	641	16	23	1	0	1	0
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0
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0

Table B4 - Participation Rates For CFTC Grades (Temporary) - Distribution by Disability

Grade Level	All Employees	No Disability [05]	Not Identified [01]	Disability [06-94]	Targeted Disability	Hearing [16/17 or 18]	Vision [23/25 or 21]	Missing Extremities [28, 32-38 or 30]
CT-1 (#)	0	0	0	0	0	0	0	0
CT-2 (#)	0	0	0	0	0	0	0	0
CT-3 (#)	0	0	0	0	0	0	0	0
CT-4 (#)	0	0	0	0	0	0	0	0
CT-5 (#)	0	0	0	0	0	0	0	0
CT-6 (#)	0	0	0	0	0	0	0	0
CT-7 (#)	0	0	0	0	0	0	0	0
CT-8 (#)	0	0	0	0	0	0	0	0
CT-9 (#)	0	0	0	0	0	0	0	0
CT-10 (#)	0	0	0	0	0	0	0	0
CT-11 (#)	0	0	0	0	0	0	0	0
CT-12 (#)	1	1	0	0	0	0	0	0
CT-13 (#)	2	2	0	0	0	0	0	0
CT-14 (#)	1	0	0	1	0	0	0	0
CT-15 (#)	1	1	0	0	0	0	0	0
All Other (Unspecified CT) (#)	4	4	0	0	0	0	0	0
SES (#)	5	5	0	0	0	0	0	0
Other Senior Pay (Non-SES) (#)	0	0	0	0	0	0	0	0

Total CT Workforce (Temporary) (#)	14	13	0	1	0	0	0	0	0	0
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[illegible]

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Table B5-1: PARTICIPATION RATES FOR WAGE GRADES by Disability

[illegible]

[illegible]

[illegible]

0

Table B6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS - Distribution by Disability

[illegible]

[illegible]

Table B7: APPLICATIONS AND HIRES by Disability

[illegible]

[illegible]

[illegible]

Table B10: NON-COMPETITIVE PROMOTIONS - TIME IN GRADE by Disability

[illegible]

[illegible]

Table B11: INTERNAL SELECTIONS FOR SENIOR LEVEL (GS 13/14, GS 15, SES) POSITIONS by Disability

Internal Selections for Senior Level		TOTAL	Total by Disability Status				Detail for Targeted Disabilities								
			No Disability [05]	Not Identified [01]	Disability[06-94]	Targeted Disability	Hearing [16/17 or 18]	Vision [23/25 or 21]	Missing Extremities [28, 32-38 or 30]	Partial Paralysis [64-68 or 69]	Complete Paralysis [71-78 or 79]	Epilepsy [82]	Severe Intellectual Disability [90]	Psychiatric Disability [91]	Dwarfism [92]
Plan - Grade: GS-13															
Relevant Pool	%														
Total Applications Received	#					0									
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Qualified	#					0									
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Selected	#					0									
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Plan - Grade: GS-14															
Relevant Pool	%														
Total Applications Received	#					0									
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Qualified	#					0									
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Selected	#					0									
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Plan - Grade: GS-15															
Relevant Pool	%														
Total Applications Received	#					0									
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Qualified	#					0									
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Selected	#					0									
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Plan - Grade: SES															
Relevant Pool	%														
Total Applications Received	#					0									
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Qualified	#					0									
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Selected	#					0									
	%	0	0	0	0	0	0	0	0	0	0	0	0	0	0

"Relevant Applicant Pool"= all employees in the next lower pay grade and in all series that qualify them for the position announced.

Table B12: PARTICIPATION IN CAREER DEVELOPMENT - Distribution by Disability

Career Development	TOTAL	Total by Disability Status				Detail for Targeted Disabilities							
		No Disability [05]	Not Identified [01]	Disability[06-94]	Targeted Disability	Hearing [16/17 or 18]	Vision [23/25 or 21]	Missing Extremities[2 8, 32-38 or 30]	Partial Paralysis [64-68 or 69]	Complete Paralysis [71-78 or 79]	Epilepsy [82]	Severe Intellectual Disability [90]	Psychiatric Disability [91]

Career Development Programs for GS 5-12

Slots	#												
Relevant Pool	%		0	0	0	0	0	0	0	0	0	0	0
Applied	#				0								
	%		0	0	0	0	0	0	0	0	0	0	0
Participants	#				0								
	%		0	0	0	0	0	0	0	0	0	0	0

Career Development Programs for GS 13-14

Slots	#												
Relevant Pool	%		0	0	0	0	0	0	0	0	0	0	0
Applied	#				0								
	%		0	0	0	0	0	0	0	0	0	0	0
Participants	#				0								
	%		0	0	0	0	0	0	0	0	0	0	0

Career Development Programs for GS 15 and SES

Slots	#												
Relevant Pool	%		0	0	0	0	0	0	0	0	0	0	0
Applied	#				0								
	%		0	0	0	0	0	0	0	0	0	0	0
Participants	#				0								
	%		0	0	0	0	0	0	0	0	0	0	0

"Relevant Applicant Pool" = all employees in the next lower pay grade and in all series that qualify them for the position announced.

[illegible]

Table B13: EMPLOYEE RECOGNITION AND AWARDS - Distribution by Disability

Recognition or Award Program # Awards Given Total Cash	TOTAL	Total by Disability Status				Detail for Targeted Disabilities							
		No Disability [05]	Not Identified [01]	Disability[06-94]	Targeted Disability	Hearing [16/17 or 18]	Vision [23/25 or 21]	Missing Extremities [28, 32-38 or 30]	Partial Paralysis [64-68 or 69]	Complete Paralysis [71-78 or 79]	Epilepsy [82]	Severe Intellectual Disability [90]	Psychiatric Disability [91]

Time-Off Awards, 1-9 hours

Total Time-Off Awards Given	#	175	166	2	7	0	0	0	0	0	0	0	0	0
	%		0.9485714	0.0114286	0.04	0	0	0	0	0	0	0	0	0
Total Hours		1472	1394	18	60	0	0	0	0	0	0	0	0	0
Average Hours		8.411429	8.39759	9	8.57143	0								

Time-Off Awards - 9+ hours

Total Time-Off Awards Given	#	130	127	2	1	0	0	0	0	0	0	0	0	0
	%		0.9769231	0.0153846	0.007692	0	0	0	0	0	0	0	0	0
Total Hours		2767	2708	32	27	0	0	0	0	0	0	0	0	0
Average Hours		21.28462	21.3228	16	27									

Cash Awards: \$100 - \$500

Total Cash Awards Given	#	15	13	1	1	0	0	0	0	0	0	0	0	0
	%		0.8666667	0.0666667	0.0666667	0	0	0	0	0	0	0	0	0
Total Amount		6600	5600	500	500	0	0	0	0	0	0	0	0	0
Average Amount		440	430.769	500	500									

Cash Awards: \$501+

Total Cash Awards Given	#	466	443	9	14	1	0	1	0	0	0	0	0	0
	%		0.9506438	0.020316	1.555556	0.071429	0	#DIV/0!	0	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
Total Amount		953088	915373	14515	23200	4000	0	4000	0	0	0	0	0	0
Average Amount		2045.253	2066.3	1612.78	1657.14	4000		4000						

Quality Step Increases:

[illegible]

[illegible]

Table B14: SEPARATIONS By Type of Separation- Distribution by Disability

Type of Separation		TOTAL	Total by Disability Status				Detail for Targeted Disabilities							
			No Disability [05]	Not Identified [01]	Disability [06-94]	Targeted Disability	Hearing [16/17 or 18]	Vision [23/25 or 21]	Missing Extremities [28, 32-38 or 30]	Partial Paralysis [64-68 or 69]	Complete Paralysis [71-78 or 79]	Epilepsy [82]	Severe Intellectual Disability [90]	Psychiatric Disability [91]
Voluntary	#	53	51	1	1	0	0	0	0	0	0	0	0	0
	%	0	0.962264	0.018868	0.018868	0	0	0	0	0	0	0	0	0
Involuntary	#	1	0	0	1	0	0	0	0	0	0	0	0	0
	%	0	0	0	1	0	#DIV/0!	0	#DIV/0!	#DIV/0!	0	#DIV/0!	#DIV/0!	#DIV/0!
Total Separations	#	54	51	1	2	0	0	0	0	0	0	0	0	0
	%	0	0.944444	0.018519	0.037037	0	0	0	0	0	0	0	0	0
Total Workforce	#	680	641	16	23	1	0	1	0	0	0	0	0	0
	%	0	0.942647	0.023529	0.033824	0.001471	0	0.0014706	0	0	0	0	0	0

	Dwarfism	0
	[92]	0
		0
	#DIV/0!	0
		0
		0
		0
		0
		0